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Transparency in the selection and appointment of senior managers in the United Nations Secretariat

Note by the Secretary-General

The Secretary-General has the honour to transmit to the members of the General Assembly the report of the Joint Inspection Unit entitled "Transparency in the selection and appointment of senior managers in the United Nations Secretariat" (JIU/REP/2011/2).

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TRANSPARENCY IN THE SELECTION AND APPOINTMENT OF SENIOR MANAGERS IN THE UNITED NATIONS SECRETARIAT

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Geneva 2011

EXECUTIVE SUMMARY

Transparency in the selection and appointment of senior managers in the United Nations Secretariat

JIU/REP/2011/2

The report was prepared pursuant to paragraph 19 of General Assembly resolution 64/259, "Towards an accountability system in the United Nations Secretariat", and will be submitted to the General Assembly at the main part of its sixty-sixth session. The objective of the study was to review the effectiveness, coherence, timeliness and transparency of the current selection and appointment processes of senior managers in the United Nations Secretariat and provide recommendations leading to enhanced transparency. For the purpose of this report, senior managers are defined as the Deputy Secretary-General, Under-Secretaries-General and Assistant Secretaries-General; the scope is limited to the United Nations Secretariat.

Main findings and conclusions

Member States are familiar with the process as outlined in the Secretary-General's report on accountability (A/64/640) and for the most part, no major concerns were expressed with the description of the process itself. The concern is with the implementation of the process, which is seen as opaque, raising many questions as to how the process actually works.

Both the Member States and the Inspectors recognize the explicit discretionary power of the Secretary-General in making senior manager appointments, but the Inspectors believe discretionary authority does not mean that the Secretary-General has carte blanche to avoid the process that he has established; discretionary authority should not be used as an excuse to avoid transparency in that process.

The challenge is to strike a balance between providing enough information to Member States so they are confident that the process is open, fair and transparent without compromising the privacy of the candidates and jeopardizing the confidentiality of the deliberative process of either the interview panels or the Secretary-General himself.

The Inspectors believe that vacancy announcements should be issued for all positions, except for special envoys and personal advisers, as soon as it is known that a vacancy will arise. Notes verbale transmitting vacancy announcements for every position should be sent to all Member States and all United Nations agencies, funds and programmes with at least one month's notice.

Frequently, Member States will nominate a candidate whose qualifications may not be suitable for a particular vacancy. The Inspectors are convinced that merit should be the primary criteria in the selection of senior managers and that Member States are responsible for putting forward fully qualified candidates for the Secretary-General to consider. A website should be set up to convey information on senior appointments to Member States and potential candidates.

The Inspectors found that interview panel members, who are the most senior officials in the Organization, spend their time on basic screening of candidates and that detailed reference checks are not performed. Basic screening to filter out candidates who do not satisfy mandatory eligibility criteria should be performed by OHRM or its equivalent. To avoid serious reputational risk to the Organization, once a short list is determined, all information provided by those candidates should be thoroughly vetted by OHRM or its equivalent, e.g., degrees, references, performance history, etc., before the interview panel forwards the list to the Secretary-General for decision.

The Secretary-General recognizes the political realities that he must reflect in the Organization, but reportedly no position is reserved for any Member State. However, annex II shows that historically no Secretary-General has been immune to political pressure in this regard. The Inspectors believe that if all vacancies are announced and announcements are sent to all Member States and the United Nations funds and programmes, the requirements of paragraph 3 (e) in resolution 46/232, whereby the General Assembly decided that as a general rule, no national of a Member State should succeed a national of that State in a senior post and that there should be no monopoly on senior posts by nationals of any State or group of States, should be satisfied.

For those positions where the United Nations General Assembly has decided that there be geographic rotation between the "North" and the "South", in the Inspectors' opinion candidacies should be sought only from the region whose turn it is to hold the position. For example, assuming that a current incumbent is from the North and a successor should be from the South, notes verbale with the vacancy announcement requesting nominations of candidates for the upcoming vacancy should be sent to the Member States from the South only, with information to the Member States from the North.

Recommendations for consideration by the General Assembly

- The General Assembly should direct the Executive Office of the Secretary-General (EOSG) to set-up and maintain on a monthly basis a dedicated website which will convey specific information on senior appointments to Member States and potential candidates as described in paragraph 88 of this report.

- The General Assembly should endorse the guidelines in paragraph 87 (a) to (l) of this report and direct the Secretary-General to follow the guidelines in selecting and appointing senior managers in tandem with the process outlined in the Secretary-General's accountability report.

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Abbreviations

ACABQ	Advisory Committee on Administrative and Budgetary Questions
ASG	Assistant Secretary-General
AU-UN	African Union - United Nations
BINUB	United Nations Integrated Office in Burundi
BINUCA	United Nations Integrated Peacebuilding Office in the Central African Republic
BNUB	United Nations Office in Burundi
CMP	Capital Master Plan
CTED	Counter-terrorism Committee Executive Directorate
DESA	Department of Economic and Social Affairs
DFS	Department of Field Support
DGACM	Department for General Assembly and Conference Management
DM	Department of Management
DPA	Department of Political Affairs
DPI	Department of Public Information
DPKO	Department of Peacekeeping Operations
DR Congo	Democratic Republic of the Congo
DSG	Deputy Secretary-General
DSRSG	Deputy Special Representative of the Secretary-General
DSS	Department of Safety and Security
EOSG	Executive Office of the Secretary-General
ERC	Emergency Relief Coordinator (OCHA)
FR Germany	Federal Republic of Germany
FT	Fixed term
FYROM	Former Yugoslav Republic of Macedonia
HC	Humanitarian Coordinator
HR	Human Resources
IAAP	Interagency Advisory Panel
ICT	Information and Communications Technology
JIU	Joint Inspection Unit
JMST	Joint African Union - United Nations Mediation Support Team

MINURCAT	United Nations Mission in the Central African Republic and Chad
MINURSO	United Nations Mission for the Referendum in Western Sahara
MINUSTAH	United Nations Stabilization Mission in Haiti
MONUSCO	United Nations Organization Stabilization Mission in the Democratic Republic of the Congo
NGO	Non-governmental organization
OCHA	United Nations Office for the Coordination of Humanitarian Affairs
OCSS	Office of Central Support Services
OHCHR	Office of the High Commissioner for Human Rights
OHRLLS	Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States
OHRM	Office of Human Resources Management
OIOS	Office of Internal Oversight Services
OPPBA	Office of Programme Planning, Budget and Accounts
OSRSG/CAAC	Office of the Special Representative of the Secretary-General for Children and Armed Conflict
PBSO	Peacebuilding Support Office
PRSG	Personal Representative of the Secretary-General
RB	Regular budget
RC	Resident Coordinator
ROK	Republic of Korea
RR	Resident Representative (UNDP)
SLAS	Senior Leadership Appointments Section
SRSG	Special Representative of the Secretary-General
UK	United Kingdom of Great Britain and Northern Ireland
UN Women	United Nations Entity for Gender Equality and the Empowerment of Women
UNAMA	United Nations Assistance Mission in Afghanistan
UNAMI	United Nations Assistance Mission in Iraq
UNAMID	African Union/United Nations Hybrid operation in Darfur
UNCTAD	United Nations Conference on Trade and Development
UNDG	United Nations Development Group
UNDOF	United Nations Disengagement Observer Force
UNEP	United Nations Environment Programme

UNFICYP	United Nations Peacekeeping Force in Cyprus
UN-Habitat	United Nations Human Settlements Programme
UNHCR	United Nations High Commissioner for Refugees
UNIFIL	United Nations Interim Force in Lebanon
UNIOSIL	United Nations Integrated Office in Sierra Leone
UNIPSIL	United Nations Integrated Peacebuilding Mission in Sierra Leone
UNMIK	United Nations Interim Administration Mission in Kosovo
UNMIL	United Nations Mission in Liberia
UNMIS	United Nations Mission in the Sudan
UNMIT	United Nations Integrated Mission in Timor-Leste
UNOCI	United Nations Operation in Côte d'Ivoire
UNODC	United Nations Office on Drugs and Crime
UNOG	United Nations Office in Geneva
UNOGBIS	United Nations Peacebuilding Support Office in Guinea-Bissau
UNOLA	United Nations Office of Legal Affairs
UNON	United Nations Office in Nairobi
UNOV	United Nations Office in Vienna
UNOWA	United Nations Office for West Africa
UNPOS	United Nations Political Office for Somalia
UNRWA	United Nations Relief and Works Agency
UNSCO	Untied Nations Special Coordinator for the Middle East Peace Process
UNSCOL	Office of the United Nations Special Coordinator for Lebanon
UNTSO	United Nations Truce Supervision Organization
USA	United States of America
USG	Under-Secretary-General
USSR	Union of Soviet Socialist Republics
WAE	When actually employed
WFP	World Food Programme

I. INTRODUCTION

1. Pursuant to paragraph 19 of General Assembly resolution 64/259, "Towards an accountability system in the United Nations Secretariat", the Joint Inspection Unit (JIU) included in its 2010 programme of work a review on possible measures to further enhance transparency in the selection and appointment process of senior managers.

2. The report is to be submitted to the General Assembly at the main part of its sixty-sixth session. The request comes from the conclusion of Member States that the two reports of the Secretary-General on accountability show that insufficient progress has been made enhancing transparency in the recruitment process.[1]

3. Selection and appointment of senior managers has been an issue since the founding of the United Nations in 1945. There has always been and will continue to be a natural tension between the Secretary-General's authority to select and appoint senior staff and the desire of Member States to ensure that their nationals be placed in such positions. This is further compounded by the need to respect as wide as possible geographical distribution and gender balance. There is a widespread perception of a "non-transparent culture" in the selection process of these appointments, which needs to be addressed.

4. The objective of the study was to review the effectiveness, coherence, timeliness and transparency of the current selection and appointment processes of senior managers in the United Nations Secretariat[2] and provide recommendations leading to enhanced transparency. Senior managers are defined as the Deputy Secretary-General, Under-Secretaries-General and Assistant Secretaries-General. Although the Secretary-General has a personal role in the selection and appointment of the Directors at the D-2 level,[3] the review excluded this group because the Office of Internal Oversight Services (OIOS) performed an audit on the subject, the scope of which included D-1 and D-2 levels of Directors.[4] The scope of this review was confined to the United Nations Secretariat, pursuant to resolution 64/259, and excluded the heads of funds and programmes and other entities which were addressed in the JIU report on the "Selection and conditions of service of Executive Heads in the United Nations System Organizations".[5]

5. In accordance with the internal standards and guidelines of the JIU and its internal working procedures, the methodology followed in preparing this report included an in-depth desk review, questionnaires, interviews, and in-depth analyses of policy documents and information gathered in this regard. A detailed questionnaire was sent to the Executive Office of the Secretary-General. On the

[1] The ACABQ report (A/64/683, para. 28) on the Secretary General's report, entitled "Towards an accountability system in the United Nations Secretariat", recalled that the Secretary-General was to have developed "a framework and process for the open and transparent nomination and selection procedure for senior management positions that relates the qualifications and experience of candidates to available positions". ACABQ concluded that "insufficient progress has been made in implementing this approach".

[2] For organization of the Secretariat of the United Nations, please see ST/SGB/2002/11 and http://www.un.org/aboutun/chart_en.pdf.

[3] See Senior Review Group ST/SGB/2009/2, in force as of 1 January 2009, and Staff selection system ST/AI/2010/3, as of 21 April 2010, Section 3, Scope, paras. 3.1 and 3.2.

[4] Audit of the recruitment process for senior level positions in the Secretariat, AH2010/512/01.

[5] JIU/REP/2009/8.

basis of the responses received, the Inspectors conducted interviews with officials and also sought the views of a number of former officials, other international organizations, non-governmental organizations (NGOs) and of representatives of Member States. Comments from the United Nations Secretariat on the draft report have been sought and taken into account in finalizing the report (see annex III).

6. In accordance with article 11.2 of the JIU statute, this report has been finalized after consultation among the Inspectors so as to test its conclusions and recommendations against the collective wisdom of the Unit.

7. To facilitate the handling of the report and the implementation of its recommendations and the monitoring thereof, annex IV contains a table specifying those recommendations that require a decision by the General Assembly and those that can be acted upon by the Secretary-General.

8. The Inspectors wish to express their appreciation to all who assisted them in the preparation of this report, and particularly to those who participated in the interviews and so willingly shared their knowledge and expertise. However, the Inspectors must point out their regret that, overall, the day-to-day cooperation of the Executive Office of the Secretary-General (EOSG) was not good. A number of submissions in response to the team's requests were incomplete, ignored or simply were not provided despite numerous reminders.

9. The Inspectors note that it is they who determine what is and is not relevant for their work. As such, the Inspectors intended to perform a review of a sample of files to test the selection and appointment process in place. Unfortunately, access to the files was not granted under the pretext of confidentiality, despite article 6 (2) and (3) of the JIU Statute and despite confirming to the EOSG that the Inspectors were not interested in candidates' personal information or their identity. It was only after the publication of the Unit's Annual Report (A/65/34) referencing this problem and after the receipt by the EOSG of this report in draft for their comment, that the Secretariat decided that the files could be made available to the Geneva-based Inspectors in a designated room in New York. All costs associated with the second visit to New York would have to be absorbed by the JIU team; an offer too little and too late for this report. This serves the Secretary-General poorly and gives credence to the notion that there is a culture of secrecy. It reinforces Member States' calls for greater transparency in the selection and appointment process of senior managers, with which the Inspectors agree.

10. The Inspectors are, however, grateful to both Secretary-General Ban Ki-moon and former Secretary-General Kofi Annan for spending considerable time with them. It was important for this review to understand the pressures placed on the Secretary-General and how they factor into the decision-making processes.

II. ROLE OF THE SECRETARY-GENERAL

11. According to the Charter of the United Nations, the Secretariat comprises a Secretary-General and "such staff as the Organization may require". The Secretary-General is appointed by the General Assembly upon the recommendation of the Security Council and is the chief administrative officer of the Organization.[6] In the performance of their duties, the Secretary-General and the staff are not to seek or receive instructions from any Government or from any other authority external to the Organization. They are to refrain from any action which might reflect on their position as international officials responsible only to the Organization.[7]

12. The Secretary-General enjoys independence over questions of staffing with the paramount consideration in the employment of staff being the necessity of securing the highest standards of efficiency, competence and integrity.[8] The Charter further requires that "due regard shall be paid to the importance of recruiting the staff on as wide a geographical basis as possible".[9]

13. Staff Regulations of the United Nations and provisional Staff Rules (Staff Regulations and Rules)[10] reinforce the Charter by stating that the power of appointment of staff members rests with the Secretary-General. Staff members are subject to the authority of the Secretary-General and to assignment by him to any of the activities or offices of the United Nations.[11] The Secretary-General can make exceptions to the Rules "provided that such exception is not inconsistent with any Staff Regulation or other decision of the General Assembly and provided further that it is agreed to by the staff member directly affected and is, in the opinion of the Secretary-General, not prejudicial to the interests of any other staff member or group of staff members".[12]

14. Over the years there were many exceptions to the established rules for the recruitment, placement and promotion of staff. As a result, the General Assembly adopted resolution 51/226 which, while reiterating its full support for the Secretary-General as the chief administrative officer of the Organization, deplored the high number of exceptions to the established procedures and requested:

> "...the Secretary-General to announce all vacancies so as to give equal opportunity to all qualified staff and to encourage mobility, **it being understood that the discretionary power of the Secretary-General of appointment and promotion outside the established procedures should be limited to his Executive Office and the under-secretary-general and assistant secretary-general levels, as well as special envoys at all levels".** [13]

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[6] Charter of the United Nations, Article 97.

[7] Charter, Article 100.1.

[8] Charter, Article 101.1: "The staff shall be appointed by the Secretary-General under regulations established by the General Assembly".

[9] Charter, Article 101.3.

[10] ST/SGB/2010/6.

[11] Staff Regulation 1.2 (c).

[12] Staff Rule 12.3 (b).

[13] General Assembly resolution 51/226, section II, paragraph 5.

III. MEMBER STATES' CONCERNS

15. The selection and appointment of senior managers has been an issue of both interest and concern to Member States since the founding of the United Nations in 1945. It continues to be so to this day. It has been discussed in the context of human resources management as well as peace issues. On multiple occasions, the General Assembly has decided that reform and revitalization of the United Nations should be aimed at:[14]

(a) Ensuring transparency in recruitment procedures and practices, including those for senior posts;

(b) Ensuring that the highest standards of efficiency, competence and integrity are the paramount considerations in the recruitment and performance of international civil servants;

(c) Ensuring a more effective application of the principle that the recruitment of staff should be on as wide a geographical basis as possible to improve the composition of the Secretariat and that at the senior and policy-making levels of the Secretariat, equitable representation of Member States exists, especially for those with inadequate representation at those levels, unrepresented and under-represented, in particular developing countries;

(d) Ensuring that, as a general rule, no national of a Member State should succeed a national of that State in a senior post and there should be no monopoly on senior posts by nationals of any state or group of States; and,

(e) Improving the representation and the status of women in the Secretariat, in particular at the higher echelons.

16. Most recently, in 2009 in its resolution 63/276, the General Assembly requested the Secretary-General to present measures to ensure transparency in the selection and appointment process of senior managers, including at the assistant secretary-general and under-secretary-general levels (A/64/683, para. 26). In response, the report of the Secretary-General, "Towards an accountability system in the United Nations Secretariat" (A/64/640), presented the main steps of the selection and appointment process of these senior officials.

17. ACABQ recalled that the Secretary-General was to have developed "a framework and process for the open and transparent nomination and selection procedure for senior management positions that relates the qualifications and experience of candidates to available positions". ACABQ concluded that the report of the Secretary-General "did not expand on specific measures to ensure transparency in the process and considered there had been insufficient progress in this regard (A/64/683, para. 28). As a result, the General Assembly, in paragraph 19 of its resolution 64/259 of 29 March 2010, requested the Joint Inspection Unit to submit a report on possible measures to further enhance transparency in the selection and appointment process of senior managers at the main part of its sixty-sixth session.

[14] For example, see General Assembly resolutions 41/206 A (1986), 46/232 (1991), 47/120 (1992), 51/226 (1996), 53/221 (1998), 55/258 (2000),

18. In accordance with the statutory role of the Secretary-General and the concerns expressed by Member States, the Inspectors recommend the adoption of guidelines and the establishment of a website, both of which are referred to throughout this report, and in particular in paragraphs 87 and 88 below, as a means to enhance transparency in the selection and appointment of senior managers.

IV. LEVELS AND FUNCTIONS OF SENIOR MANAGERS

19. Distinction needs to be made between the levels and functions of senior managers. Under-Secretary-General (USG) and Assistant Secretary-General (ASG) are terms used to describe a rank, a grade, and a level of appointment. Senior managers at these levels can perform the following functions:

(a) Be a Deputy Secretary-General

(b) Be a head or a deputy head of a department

(c) Be a Special Representative of the Secretary-General, an Envoy or perform another special high-level function, as explained below

20. Another difference to note is the place where these individuals live and work. While those in the first and second group live and work in one of the headquarters locations, for individuals in the third group, the place is determined based on the function they perform. Special Representatives of the Secretary-General,[15] their Deputies and Force Commanders reside in the field mission where they work; Special Envoys, Envoys and other special high-level functionaries only visit the area they are responsible for from time to time.

A. Definitions

21. **The Inspectors discovered during this review innumerable Under-Secretary and Assistant Secretary-General positions and titles, and sought definitions from the EOSG in an effort to provide an understanding and clarification among them. Notwithstanding the definitions provided (which in the interest of brevity have been shortened), the Inspectors believe there is a clear need to rationalize and streamline the number and title of these positions.**

Deputy Secretary-General

22. The post of Deputy Secretary-General (DSG), established in 1997,[16] is an integral part of the Office of the Secretary-General. The incumbent has the grade of Under-Secretary-General, but holds the title of Deputy Secretary-General. The DSG is appointed following consultations with Member States and in accordance with

[15] Except for Special Representatives concerned with thematic issues; see paragraph 25.

[16] The General Assembly in its resolution 52/12 B (1997) decided to establish the post of Deputy Secretary-General. The post was formally established in resolution 52/220.

Article 101 of the Charter of the United Nations. The terms of office of the DSG do not exceed that of the Secretary-General.

Head or a Deputy Head of a Department

23. Under-Secretaries-General and Assistant Secretaries-General, in addition to being titles used to distinguish a rank, are also titles used for certain, primarily Headquarters-based positions, such as Under-Secretary-General for Peacekeeping Operations, Under-Secretary-General for Economic and Social Affairs, or Assistant Secretary-General for Field Support.

Special Representatives, Envoys and Other Special High-Level Functions

24. Representatives of the Secretary-General serve at the level and title designated by him. Such designation can be prescribed by the Security Council or the General Assembly, and often the Secretary-General advises the Security Council of the appointment of his special representatives for Security Council-mandated peacekeeping, peacebuilding, and special political missions.[17]

25. *Special representatives of the Secretary-General* are usually designated at the Under-Secretary-General level (a) as head of a field mission, in accordance with a Security Council or General Assembly mandate (i.e. the Special Representative of the Secretary-General for UNAMI or UNAMA), (b) in pursuance of an initiative of the Secretary-General's good offices (i.e. negotiations in compliance with Security Council resolutions), and (c) as representatives of the Secretary-General on thematic issues (i.e. the Special Representative of the Secretary-General for migration).

26. *Deputy Special Representatives of the Secretary-General* are appointed at the Assistant Secretary-General level, or lower, to assist Special Representatives with their diplomatic, political and managerial responsibilities (i.e. Deputy Special Representative of the Secretary-General for MINUSTAH).

27. For those missions that have a major military component, the *Force Commander* is appointed at the Assistant Secretary-General level (i.e. Force Commander for MONUSCO). These individuals are seconded from their Governments.

28. The Secretary-General also appoints at Under-Secretary or Assistant Secretary-General level:

(a) *Representatives* (i.e. Representative of the Secretary-General on the human rights for internally displaced persons);

(b) *Executive Representatives* who perform multi-hatted functions as heads of integrated offices (see paragraph 44, for example, the Executive Representative of the Secretary-General for the United Nations Integrated Peacebuilding Office in Sierra Leone (UNIPSIL));

[17] A/62/7/Add.29, para. 12 (a) to (f).

(c) *High Representatives* such as Special Representatives of the Secretary-General can be appointed for a thematic issue or based on a Security Council resolution for functions such as heading a dialogue, representing a group of countries, monitoring an electoral process or coordinating activities of the Organization in the civilian aspects of a peace process (High Representative of the Secretary-General for the Alliance of Civilizations);

(d) *Personal Representatives* to attend specific international conferences, meetings and/or negotiations on behalf of the Secretary-General (the Personal Representative of the Secretary-General on the Border Controversy between Guyana and Venezuela).

29. *Special Envoys of the Secretary-General* are usually assigned at the Under-Secretary-General level to undertake a special mission relating to matters of which the Security Council or the General Assembly are seized (the Special Envoy for the implementation of Security Council resolution 1559 (2004)[18] or Special Envoy for Haiti).

30. *Envoys of the Secretary-General* are assigned at the Assistant Secretary-General level, or lower (as at 31 December 2010 there are no examples of Envoys).[19] *Personal Envoys of the Secretary-General* are assigned at any level to undertake a mission in pursuance of an initiative of the Secretary-General (the Personal Envoy of the Secretary-General for Western Sahara).

31. *Special Advisers to the Secretary-General*, normally at the Under-Secretary-General or Assistant Secretary-General level, are assigned to advise the Secretary-General in regard to specific subject matters on an ad hoc basis (the Special Adviser for the Prevention of Genocide). [20]

32. *High-level Coordinators*, normally at the Under-Secretary-General level, are appointed by the Secretary-General to report to the Security Council on the fulfilment of a resolution (i.e. the High-level Coordinator for compliance by Iraq with its obligations regarding the repatriation or return of all Kuwaiti and third-country nationals or their remains, as well as the return of all Kuwaiti property, including archives seized by Iraq).

33. *Special Coordinator*, normally at the Under-Secretary-General level, is a Special or Personal Representative who coordinates the work of the United Nations and represents the Secretary-General on all political aspects of the United Nations work in a country (i.e. the Special Coordinator for the Middle East Peace Process).

34. *Senior Coordinators*, usually assigned at the Assistant Secretary-General level, are the most senior public experts in a certain field who ensure that the United Nations system makes an effective and coordinated contribution to a given issue of global concern (i.e. the Senior Coordinator for Avian and Human Influenza).

35. In addition, there is a *Chief Mediator* and a *Deputy Chief Mediator* for which no definitions were provided.

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[18] Security Council resolution 1559 (2004) is a resolution by which the Security Council declared its support for free presidential elections in Lebanon. The Secretary-General appointed a Special Envoy for its implementation.

[19] A/62/7/Add.29, paragraph 12 (a) to (f); A/47/277-S24111, para. 25 (c)

[20] Ibid.

B. Current selection and appointment processes

Duration and types of appointments

36. The appointment of Under-Secretaries-General and Assistant Secretaries-General is normally for a period of up to five years, subject to prolongation or renewal.[21] By practice, contracts are, however, most commonly issued on a yearly basis.

37. The general provisions for the use of "When actually employed" (WAE) contracts for special representatives, envoys and other special high-level positions are contained in ST/SGB/283 of 29 August 1996. WAE contracts are used when there is a need (a) for work of an intermittent or discontinuous nature, (b) for assignments whose duration is uncertain, or whose timing is not clearly identifiable in advance, or (c) to ensure the availability at short notice of persons with special skills required by the Organization. WAE contracts are to be used when standard appointments under Staff Rules or standard special service agreements would not be appropriate, for example, in peacekeeping operations or special assignments for the Secretary-General.

38. Individuals working on dollar-a-year contracts have fixed-term appointments. Such contracts are used on an exceptional basis, limited to high-level appointments and are not to be used for all forms of volunteer service/gratis personnel. Dollar-a-year contracts are considered a form of volunteer service and are distinguished from gratis personnel in that there is no payment from an individual Government.

The processes

39. The Secretary-General has in most cases[22] of senior appointments the ultimate authority to make the final selection, taking into account other factors, such as geographical distribution and gender balance.

40. The Secretary-General's report on accountability[23] documents the current process for the selection and appointment of senior managers, which the Inspectors now understand to be related in the main to USGs and ASGs primarily based at headquarters or headquarters locations such as Geneva, Vienna and Nairobi:

(a) Upcoming openings are reviewed on an ongoing basis in order to commence the required selection process in a timely manner;

(b) Predetermined criteria, against which the candidates are to be reviewed, are established and reflected in the terms of reference of the interview panel and conveyed to the Member States when soliciting nominations;

[21] ST/SGB/2010/6, Regulation 4.5 (a), United Nations Staff Rules and Regulations.

[22] For exceptions, see paragraph 45.

[23] A/64/640, Section II/E/ paragraph 43 (a) through (g).

(c) In order to ensure a diverse pool of qualified candidates for such positions, a notification is sent to Member States through a note verbale and an advertisement is placed in suitable print media and United Nations websites, as needed, to complement the Secretary-General's own search efforts;

(d) The consideration of the candidates includes review and advice by a panel of senior United Nations officials with relevant knowledge and experience drawn from the United Nations Secretariat and/or the funds and programmes, as well as outside experts as deemed necessary;

(e) The most suitable final candidates, of which at least one is a woman, are submitted to the Secretary-General for final decision;

(f) The Secretary-General personally interviews the finalists, as appropriate, prior to making his decision;

(g) For some positions, consultations with intergovernmental bodies are required and conducted accordingly.

41. The Inspectors learned that, in addition to the process outlined in the accountability report above, there are a number of other processes in place for senior appointments. However, the Inspectors consider them a variation on theme in that they arguably could be subsumed under (a)-(g) above (e.g., field appointments and appointments related to other special high-level functions). This may explain why the Secretary-General did not point out these different processes in the accountability report.

Deputy Secretary-General

42. There is no written process in place for the selection of the Deputy Secretary-General, but the process of how the current Deputy Secretary-General was selected was described to the Inspectors as follows:

(a) The Secretary-General considered names of potential candidates based on his own search efforts and following his review of high-level persons, either known to him or brought to his attention for consideration. (The Secretary-General knew the current DSG from their previous roles as foreign ministers of their respective countries.);

(b) Various interactions were undertaken between the potential candidates and the Secretary-General beforehand given the sensitivity of the appointment. The incumbent had to be able to establish a relationship of trust with the Secretary-General and have the necessary calibre and expertise for such a high-level appointment;

(c) The Secretary-General appointed his Deputy following confidential consultations with Member States.

Field operations

43. The Department of Field Support (DFS), and within it, the Senior Leadership Appointments Section (SLAS), plays an essential role in the administration of the senior field leadership selection process. The core functions of SLAS are stated in ST/SGB/2010/2, paragraph 4.5. The process is essentially the same for all field appointments and can be summarized as follows, unless the selection is for one of the "multi-hatted" positions (para. 44 below):

(a) Leadership requirements are reviewed and identified on a monthly basis in order to plan and manage the selection process in a timely manner. Thus, most vacancies are known in advance, however, some vacancies do occur on short notice;

(b) Post specific terms of reference and post profile are developed and/or updated and serve as the criterion against which potential candidates are reviewed;

(c) The Secretary-General may decide to advertise the position or send a notification to Member States through a Note Verbale (e.g., Force Commander posts).[24] Caution is exercised not to advertise senior field positions too soon, so that the incumbent's relationships with his/her counterparts on the ground are not compromised;

(d) A shortlist of potentially suited candidates is generated in consultation with the EOSG, lead departments, existing mission leadership and other key stakeholders. The Senior Leadership Database (LEAD) managed by the Department of Field Support serves as an important source for the identification of potential candidates;

(e) In generating a slate of candidates, consideration is paid to organizational objectives of gender and geographical representation as well as to candidates from troop and police contributing countries (for DPKO-led missions). The missions' operating environment, including the United Nations' existing leadership complement on the ground, will factor into the process;

(f) Short-listed candidates are normally evaluated through formal interdepartmental interview panels, the outcome of which is presented for the Secretary-General's consideration. In accordance with the Secretary-General's directives, three candidates are presented to the Secretary-General, of which at least one must be a woman. In those cases where a woman is not presented, a written explanation highlights the circumstances;

(g) The Secretary-General takes the final decision based on the panel's recommendation and may decide to personally interview the finalist/s before taking a decision;

(h) Formal or informal consultations may be required with regional organizations or Member States.

[24] Force Commanders are selected by the Military Adviser's Office, DPKO, which sends notes verbale to groups of Member States. These positions are all at the D2 level or below, with four exceptions noted in the table in annex I, which are at ASG level. These individuals are seconded from their governments.

Multi-hatted field positions

44. The Resident Coordinator (RC) position is normally combined with the Resident Representative position and may also serve as the Designated Official and/or the Humanitarian Coordinator. Normally RCs are D-1 or D-2 level, but in those countries with peacekeeping and/or political missions the RC can be at ASG level. In such cases, RCs wear several hats (i.e. the Deputy Special Representative of the Secretary-General and the United Nations Resident Coordinator and Humanitarian Coordinator). The RC recruitment process is described in the Guidelines for the Selection and Appointments of Resident Coordinators (30 November 2009). The positions are open to candidates from the entire United Nations system and external candidates. However, both internal and external candidates must be nominated by a United Nations entity, an individual cannot apply to such positions independently. To be eligible for RC positions candidates are required to take a competency-based assessment after which they are placed in the RC pool. Nominated candidates are short-listed by the Interagency Advisory Panel (IAAP), interviewed, and the final short-list is submitted to the Secretary-General for his decision.[25] **In the Inspectors' view, all Resident Coordinator pool members, given the extensive qualification process, should be able to apply independently for RC positions and not be dependent on being nominated by their entity of origin.**

Special Envoys/Advisers:

(a) Departments or offices backstopping such mandates are consulted regarding the terms of reference and selection criteria for such positions;

(b) In some cases the Secretary-General relies on the substantive department concerned for the initial search, interview and identification of finalists before proceeding with the final appointment.

Appointments governed by specific General Assembly resolutions

45. A number of senior appointments are governed by specific General Assembly resolutions: Commissioner-General of UNRWA, High-Commissioner for Refugees, Secretary-General of UNCTAD, Executive Director of UNEP, High Commissioner for Human Rights, Under-Secretaries-General for Internal Oversight Services, UN Habitat, Safety and Security, UN Women and the Assistant Secretary-General for Peacebuilding Support. Various stipulations are placed on their appointment process ranging from term limits, due regard for equitable geographical representation or rotation, requirement for consultations with Member States and General Assembly approval or election of the nominee etc[26].

[25] The shortlist of candidates is submitted by IAAP to the United Nations Development Group (UNDG) Chair and the Emergency Relief Coordinator (ERC). The UNDG Chair, the ERC and the USG of the lead department jointly interview the short-listed candidates, with input from the concerned SRSG.

[26] Refer to A/RES/302 (IV) for UNRWA, A/RES/428 (V) for UNHCR, A/RES/1995 (XIX) for UNCTAD, A/RES/2997 (XXVII) for UNEP, A/RES/48/141 for OHCHR , A/RES/48/218 B for USG/OIOS, A/RES/56/206 for USG/UN Habitat, A/RES/59/276 for USG/DSS, A/RES/64/289 for UN Women and A/RES/62/236 for ASG/PBSO.

V. IMPLEMENTATION OF THE PROCESS(ES)

46. The Inspectors found that Member States were familiar with the process as outlined in the Secretary-General's accountability report and that, for the most part, no major concerns were expressed with the description of the process itself. In fact, some felt it was good. It is the implementation of the process which is of major concern; it is not seen as transparent, but opaque, raising many questions as to how the process actually works. The Inspectors share these concerns. While all recognized the explicit discretionary power of the Secretary-General in making these appointments and the need to hold him accountable for his choices, they nevertheless felt there was significant room for improvement leading to more transparency. The Inspectors believe the discretionary authority does not mean that the Secretary-General has carte blanche to avoid the process he himself has established.

47. The General Assembly itself is free to put guidelines on the process because this does not affect the Secretary-General's ability to choose a candidate; the Secretary-General's discretionary authority cannot be used as an excuse to avoid transparency in the process. The process can be transparent while preserving the Secretary-General's ultimate authority to select the person for the job. The Inspectors are pleased that the Secretary-General has developed a process, as evidenced in the Accountability report (para. 40 above), which, if coupled with the guidelines in this report (para. 87) and the establishment of a dedicated website (para. 88) should ensure an open and transparent selection and recruitment process for senior managers.

48. Senior staff in the Executive Office of the Secretary-General explained that for any appointment they are guided by the requirements of General Assembly resolutions and within that context they ensure that the process is transparent vis-à-vis both the Member States and the candidates. The challenge is to strike a balance between providing enough information to Member States so that they are confident that the process is open and transparent without compromising the privacy of the candidates and interview panel members. They believe that the process in place as described in the Accountability report best keeps this balance and protects it from undue political pressure.

49. The Inspectors agree on the need for the privacy of candidates and interview panel members. This however does not mean that the process has to be so closely guarded such that Member States have no idea or understanding of the senior appointment process and its raison d'être. The following are the Inspectors' findings related to and paralleling the process steps described in the Accountability report (para. 40 above).

Timing of the review of upcoming vacancies

50. Member States are concerned that appointments are not always made on time, that there is almost no overlap between incumbents, that the actual recruitment process is sometimes too long and that positions are vacant for long periods of time. The Inspectors share these concerns. Despite the fact that OHRM provides the EOSG with a monthly list of senior appointments, including such data as expiry date

of each appointment and the EOSG using this information to monitor appointments due to expire within a four-month period, the problem persists. The EOSG needs to be more vigilant in order to process the necessary extensions or to initiate succession planning so that it is timely, gaps do not exist, and to the extent possible that there is a minimum two week overlap with incumbents.

51. For field appointments, the Department of Peacekeeping Operations, the Department of Field Support and the Department of Political Affairs collaborate with the EOSG to identify appointments that require consideration for extension or replacement within three months from the date of expiry. In these cases, the EOSG explained that the process cannot be started too soon because the incumbents in place could lose their working relationship with the relevant counterparts and be turned into a "lame duck" too quickly.

52. In exceptional cases, appointments have to be made urgently, such as the appointment of the SRSG in Haiti and the resulting ASG appointment in the Department of Peacekeeping Operations.[27] While the Inspectors understand that there might be an occasional exception to the rule, the process more often than not should be predictable, familiar and consistent. When the Secretary-General determines it necessary to deviate from the established process, this should be stated upfront and he should inform Member States of the reason for any such deviation. Delays in the appointment imply costs to the organization, the most obvious of which is the absence of leadership. The Inspectors believe that if the guidelines in paragraph 87 (a), (b), and (j) are followed, this issue will be addressed.

Guidelines, para. 87:

a. Allow two-week overlap

b. All vacancies announced

j. Deviations from the process disclosed in advance

Vacancy announcements and solicitation of nominations

Predetermined criteria

53. The Inspectors were informed that once upcoming openings are determined, the EOSG and the department concerned examine any General Assembly resolution or legislative instrument for mandate and objectives. Existing terms of reference are also examined and revised as needed. The terms of reference or profile developed are the criteria against which the qualifications of the candidates are assessed.

Vacancy announcements

54. It is clear that not all vacancies are announced or known to all Member States. At times nominations are solicited from Member States via notes verbale, sometimes vacancies are advertised online and/or in print media. However, there is not a clear, consistent and established procedure. Other times there is no vacancy announcement as is the case for SRSG positions.

[27] Mr. Edmund Mullet, ASG/DPKO, took on the function of SRSG/MINUSTAH from 14 January 2010 following the 12 January 2010 earthquake and was officially appointed SRSG/MINUSTAH on 31 March 2010. Subsequently, Mr. Atul Khare was appointed ASG/DPKO.

Advertising

55. The EOSG explained that a position is advertised in the print media if the position is technical, and a wide pool of candidates is needed. Generally these positions are advertised in *The Economist* magazine due to its wide circulation, although at times depending on the profile of the position the EOSG would also place advertisements in *Le Monde*, *Jeune Afrique*, and/or *The Asia Star*. Some positions are advertised also on iSeek for Member States and on the Internet.

Notes verbale

56. Member States are concerned that they do not receive notes verbale for each vacancy. The EOSG explained that, when the current Secretary-General took office, he used his discretionary power considerably in forming his cabinet, and will plan to do so again if re-elected. They noted, however, that Member States have been notified of all subsequent senior management vacancies through notes verbale with the exception of USG/DGACM and USG/OCHA vacancies. Calls for nominations are sent to all 192 Member States, primarily to complement the Secretary-General's own search efforts and to help compile a broader, more geographically-balanced or gender-balanced list of candidates. Such correspondence describes the main elements of the position and the profile of the candidates the Secretary-General is seeking to identify. Member States traditionally provide a curriculum vitae or biography of their nominee(s).

57. The above explanation makes it clear that when the EOSG talks about transparency in selection and recruitment of senior managers, it is talking about headquarters-based positions only. **The Inspectors found that a whole group of vacancies for senior field-based positions is not advertised and there are no vacancy announcements or notes verbale sent to Member States.**[28] There is, however, the LEAD database and outreach to Member States by SLAS/DFS to identify the individuals who match the requirements of the position. The names are then provided to the USGs for DFS/DPKO/DPA and ultimately to the Secretary-General.

Guidelines, para. 87:
b. All vacancies announced

c. Announcements are sent to all Member States and UN agencies, funds and programmes

Recommendation 1:

A website is set up to convey information on senior appointments to Member States and potential candidates

58. The Inspectors recognize that progress has been made in the selection of senior field managers (SRSGs, DSRSGs) since the establishment of SLAS/DFS in 2006, which is essentially a service provider to lead departments in need of candidates. The effort is not only put in finding the right persons for the job, but in establishing the right leadership teams that will complement each other in the field which is critical for the effective functioning of the Mission.

59. The Inspectors recognize that this is a complicated, political process involving Member States' interests and interests inside the

[28] Unless they are for "multi-hatted" positions, in which case, announcements are shared internally through the IAAP process, as explained in paragraph 44 in this report.

organization and in the field. They also recognize that the type of people required to do these types of jobs are not found everywhere and that they need to be current in the political environment. They welcome DFS' planned improvement to the process to invite annually all Member States to send nominations for inclusion in the database.

60. However, the Inspectors see no reason why all vacancies when they occur, including field-based, should not be communicated to all Member States. In the Inspectors' view, if the guidelines in paragraph 87 (b) and (c) are followed and recommendation 1 in paragraph 90 is implemented both the Member States and the potential candidates will be informed of all upcoming vacancies.

Member States Responsibilities

61. As a general rule, Member States are requested to submit nominations for candidates within a month from when the note verbale is sent. A number of Member States felt this did not accord them sufficient time to submit a nomination given the need to communicate with their capitals. In the Inspectors' view, Member States should be vigilant in finding and nominating suitable candidates for vacancies. They can proactively search for good candidates to nominate before formal vacancy announcements are received.

62. In this regard, the Inspectors believe that the annual call to Member States to nominate candidates for field positions, which is planned to be implemented by DFS in 2011, can be expanded by the Secretariat to include all positions that may become vacant in a year, not just field positions. For those positions which cannot be determined that far in advance, the EOSGs practice of one month official notification seems reasonable. Additionally, the Inspectors believe the Secretariat, Member States and potential candidates would benefit significantly were a dedicated website established that would include comprehensive information regarding all upcoming senior management vacancies, including field positions.

63. Frequently, Member States will nominate a candidate whose qualifications may not be suitable for a particular vacancy. The Inspectors are convinced that merit should be the primary criteria in the selection of senior managers and that Member States are responsible for putting forward fully qualified candidates for the Secretary-General to consider. Sometimes this will require casting their nets wider than otherwise may be the case and reaching out to their experts in the private sector. The Inspectors believe that if recommendation 1 in paragraph 90 is implemented, it should ensure that a larger pool of candidates is correctly informed about the requirements for each vacancy.

Recommendation 1:

A website is set up to convey information on senior appointments to Member States and potential candidates

Screening of candidates

64. The Inspectors found through their interviews that Member States do not understand how interview panels are constituted nor how or when a decision is made to have an outside expert serve on a panel. Further Member States wanted more clarity on the screening process so that they would understand how candidates are selected.

65. The Inspectors were informed that an interview panel (sometimes called a Senior Appointment Group), is put together by the Chef de Cabinet to assist the Secretary-General in the selection process. The members of the panel are selected from among senior United Nations officials at the same level or higher as the position under recruitment. The panel can comprise up to eight individuals. The identity of panel members is kept confidential to protect the panellists from undue political pressures. The Chef de Cabinet determines, based on the nature of the position, if there is a need to have an outside expert serving on the panel (for recruitment of the USG for UN Women, an outside panellist was invited). The presence of an outside expert brings another perspective and, in certain instances, useful outside expertise, that helps in focusing and in narrowing down the best candidates for the opening. For senior field appointments, the lead departments are delegated authority by the Secretary-General to convene interview panels. Following the conduct of interviews, it is the lead department which submits the final short-list for the Secretary-General's consideration.

66. Interview panels are convened for each vacancy bearing in mind relevant background, geographical and gender balance. The interview panel chooses from among the applications, a long-list of candidates to be interviewed. After the interviews, the interview panel produces a shortlist of candidates, without ranking them, and this list is forwarded to the Secretary-General for selection.

67. The Inspectors see two problems in the process: (a) the interview panel members, who are the most senior officials in the organization, spend their time on basic screening of candidates, and (b) detailed reference checks are not performed, e.g., degrees, references, performance history etc. are not verified. This is of major concern and should be corrected urgently as it can result in serious reputational risk for the organization. In the Inspectors' opinion, if the guidelines in paragraph 87 (e) and (f) are followed, the interview panel would only deal with candidates who satisfy the requisite qualifications, candidates suggested to the Secretary-General would have their references checked and the selection and overall recruitment time should be reduced.

Guidelines, para. 87:
e. OHRM or its equivalent screens candidates

f. OHRM or its equivalent vets short-listed candidates before interview panel forwards the list to the Secretary-General

Shortlist of candidates

68. In the interview with the Office of the Chef de Cabinet, the Inspectors were told that the primary consideration in hiring USGs/ASGs is merit-based, followed by gender and geographic balance, which are considered to be of equal importance. The Member States want to know how large the pool of candidates for a position is and if their candidates were considered. The Inspectors believe that once Member States submit their nominations, further feedback on individual candidates should be provided only to those candidates who made the long and/or short-list, not to the Member States, as the feedback will contain candidates' personal information.

69. The Inspectors were informed that the Secretary-General insists that the interview panel should submit to him a choice of at least three candidates for any position, at least one of whom is a woman. If this is not the case, he will return the

proposed list and ask for a new search. He recognizes that on occasion, it has to be accepted that a female candidate cannot be found, but there must be a valid justification and the Secretary-General must be satisfied that a proper search effort was made. The Inspectors recognize the Secretary-General as do Member States for his commitment to and success in increasing the number of women in higher echelons.

70. The Secretary-General does not have a set formula for geographical balance since most of the positions he is dealing with are not subject to geographical distribution in the true sense of the word (see annex I). He has available to him from OHRM, data on the geographical distribution of top echelon staff in the Organization and makes maximum effort to ensure that there is an equitable geographical balance. While interview panels deal exclusively with one position, the Secretary-General more often than not is considering more than one position at a time. For example, interview panel A may forward three candidates to the Secretary-General with interview panel B doing the same for another position. Each of the two interview panels, while separate and distinct from each other, may have candidates from the same country. Thus the Secretary-General's request to be provided with multiple candidates from diverse backgrounds is to ensure as best he can geographical and gender balance as well as to prevent being constrained in choice. The Inspectors were informed that the Secretary-General consults with his senior advisers, including the Deputy Secretary-General in making his final decision.

71. The Secretary-General sees it as his responsibility to ensure that the right person is selected for the job. To avoid undue pressure from Member States campaigning for their own candidate, he has decided to keep the short-list of candidates confidential. This point can be argued, but the Inspectors agree with the decision of the Secretary-General. Many individuals are interested to be considered only if their names are kept confidential. On several occasions, good candidates were lost because of the possibility that official shortlists would be made public. These individuals are of high calibre with high-profile jobs, often political. Public humiliation from knowing that they were considered, but not selected for a position is a risk many are not willing to take. Unfortunately there are times when names are published in the media but the names are obtained from the candidates themselves or different sources, but not from the EOSG.

Guidelines, para. 87:
g. Secretary-General shares interview panel's report detailing information as indicated in paragraph 88 f and g in consultations with Member States

i. Interviewees are notified of the outcome of recruitment

l. Secretary-General holds bi-annual briefings for Permanent Representatives

72. While the Inspectors agree that the deliberations of interview panels and their recommendations to the Secretary-General should be confidential, they believe the interview panels should prepare a summary report, disclosing their terms of reference, how the interview panel was constituted, the number of members on the interview panel and their grade levels, and whether there were outside experts. This information, coupled with the disclosure to Member States of the number, nationality and gender of long and short-listed candidates, would not jeopardize the confidentiality of the deliberative process of either the interview panels or the Secretary-General himself. Furthermore, the Secretary-General should biannually brief Permanent Representatives on the senior appointments made in the preceding six months and should share with them, either orally or in written form, the information from the interview panels' summary reports. The Inspectors believe, if the guidelines in paragraph 87 (g), (i), and (l) are followed, more light should be shed on the selection process, without compromising privacy.

Interviews and decision-making

73. The Inspectors were told that the Secretary-General has made known his keen desire to interview the finalists. However, by using the term "as appropriate" in the description (paragraph 40 (f)) the Secretary-General leaves open the possibility that he may not interview the finalists himself (see also paragraph 43 (g)). Due to the heavy demands on the Secretary-General's schedule, he may choose to request one of his senior advisers (the supervising USG or the Chef de Cabinet) to interview on his behalf the short-list of the three candidates for a particular position. In these situations, the Secretary-General may decide, after selection, to interact with the selected candidate prior to their reporting date.

Guideline, para. 87:
h. Uniform application of the process and equal treatment of candidates

74. In the Inspectors' view, consistency has to prevail. If any of the candidates are to be interviewed by the Secretary-General or any official, then all should be interviewed, be they internal or external candidates, to ensure their equal treatment. Moreover, all interviews should be conducted by the same official whether this is the Secretary-General or his representative. It is not fair to candidates that some are interviewed while others are not. The Inspectors believe that if the guideline in paragraph 87 (h) is followed, the process should be more equitable.

Consultations

75. Consultations with Member States are required for positions for which there are legislative stipulations mandating approval by the General Assembly or the Security Council upon nomination by the Secretary-General. Such positions include the USG/UN Women, USG/OIOS, USG/UN-Habitat, USG/UNEP, USG/UNHCR,

USG/OHCHR and ASG/PBSO, positions for which there are legislative stipulations mandating consultation with intergovernmental bodies e.g. USG/UNRWA, and positions of Special Representatives of the Secretary-General. Consultations for SRSG positions involve a letter from the Secretary-General to the President of the Security Council by which he informs of his intention to appoint an SRSG. The President of the Security Council brings the letter to the attention of the members of the Security Council and conveys their "no objection" to the Secretary-General in a letter by stating that the members of the Security Council took note of the Secretary-General's intention.

76. The Inspectors found that there is a discrepancy in interpreting the term "consultation" between the Secretary-General and certain Member States with respect to senior appointments. Some Member States expressed concern that they are simply informed of the Secretary-General's decisions, whereas they interpret consultation in a broader sense as "agreement" or "consensual understanding". The EOSG explained that the idea is not to ask for agreement, but to gauge reaction to determine possible difficulties with an appointment the Secretary-General is considering.

77. The Inspectors did not find a single document where the terms consultation vs. information are defined in the United Nations except for a note from the World Food Programme and the United Nations Office of Legal Affairs (UNOLA) to the Executive Board of the WFP.[29] The note indicated that the expression "in consultation with" and "after consultation with" in the practice of the United Nations is the process by which the views of the parties consulted are sought or ascertained and that it must be distinguished from "agreement", "concurrence" or "consent".

78. The EOSG explained that there is an informal and formal process of consultations. Once the Secretary-General has interviewed the finalists and taken a decision, he informally consults with the Chairs/coordinators of the regional groups of Member States, or relevant intergovernmental body, to "test" his selection of the candidate he intends to appoint. The selection process is reportedly explained to Member States at this time, including the initial procedures, number of candidates, pre-screening criteria, interview process, and candidate selection, without disclosing the identities of the candidates. These informal exchanges are followed by formal consultations when the final choice is confirmed.

Guideline, para. 87:
k. Secretary-General consults with Chairs/coordinators of regional groups a week prior to announcing the appointment

79. In practice, however, the process is inconsistent, as on occasions, consultations are held with entire regional groups, and at other times, they are held with the Chairs/coordinators only. In the Inspectors' opinion, if the guideline in paragraph 87 (k) is followed, the process should be clear, consistent, and uniform.

[29] The note is related to the appointment of the Executive Director of the WFP, who is to be appointed by the Secretary-General of the United Nations and the Director General of the Food and Agriculture Organization after consultation with the WFP Executive Board.

Political pressure and job reservations

80. Some Member States suggested that their representatives should be invited to serve on interview panels for the selection of candidates for senior management positions. Having Member States serve on the interview panels would put even more political pressure and possible roadblocks on the process and be chaotic in terms of which Member States would serve on which panels and why. The Inspectors are of the opinion that while it is incumbent upon Member States to provide the best possible candidates, the Secretary-General, as the chief administrative officer of the Organization, is the one who must work with and trust his managers to fulfil his mandate. At the end of the day, the Secretary-General is accountable to Member States for his choice.

81. The Inspectors were told during their interviews with the EOSG that the Secretary-General recognizes the political realities that he must reflect in the Organization, but that no position is reserved for any Member State. In the event that the Secretary-General decides that a national of a certain country will be appointed, he insists that that country provide him a slate of candidates for consideration. If he is not provided with a choice, he cannot select, and therefore, he will request new nominations. The information presented in annex II, however, shows that historically, certain positions are reserved for certain Member States and that no Secretary-General has been immune to political pressure in this regard.

Guidelines, para. 87:
b. All vacancies announced

c. Announcements are sent to all Member States and UN agencies, funds and programmes

82. Using discretionary authority to broadly follow the process by arguing political realities and thereby excluding certain political appointments is tantamount to reserving jobs for Member States, which is exactly what the General Assembly has repeatedly cautioned against as stated in paragraph 15 (c) and (d) in this report. The Inspectors believe that if the guidelines in paragraph 87 (b) and (c) are followed, the requirements of paragraph 3 (e) in resolution 46/232, whereby the General Assembly decided that as a general rule, no national of a Member State should succeed a national of that State in a senior post and that there should be no monopoly on senior posts by nationals of any State or group of States, should be satisfied.

Geographical rotation

83. The issue of geographical rotation, which the Inspectors consider to be different from geographical distribution, arose frequently regarding the recent delayed appointment of the USG/OIOS, who serves for one fixed term of five years without the possibility of renewal. The Inspectors wish to make clear at the outset that no one questions the qualifications of the new USG/OIOS which are exemplary, but rather many member states were troubled that the "North" succeeded the "North" in that position.[30]

84. By General Assembly resolution 48/218 B, the appointment of the USG/OIOS is to be made with due regard to geographical rotation and in so doing the Secretary-General is to be guided by the provisions of paragraph 3 (e) of resolution 46/232.

[30] USG Lapointe, Canadian, succeeded USG Ahlenius, Swede.

During interviews with both Member States and Secretariat officials, it was clear that rotation meant the position would rotate between the "North" and the "South" with the North and the South being defined as developed and developing countries respectively. The Inspectors were informed that although it is not written anywhere, there was and is an implicit understanding among all to this effect.

85. The appointment of the USG/OIOS from the North was not expected by Member States from the South as it was the South's turn to hold that position according to the common understanding of 48/218 B. There even seemed to have been an informal understanding that the candidate would come from Africa. One of the leading finalists indeed was from Africa, the EOSG reported, but as the candidate withdrew, the Secretary-General was apparently left with a choice to start a new search all over again or appoint a candidate from the North as there were no other qualified candidates from the South.

86. The Inspectors find it inconceivable that there was a scarcity of qualified candidates from the South for this position. This was not an unexpected vacancy: everyone agrees on how the concept of geographical rotation works, there is a resolution guiding the appointment, when the vacancy was coming up was known to all five years in advance, and clearly, it was known to all that the successor should be from the South. The Inspectors believe that if the guidelines in paragraph 87 (b), (c), and (d) are followed, it should ensure that every effort is put in place to satisfy the requirements of paragraph 3 (e) in resolution 46/232 and be in accordance with the implicit understanding of the meaning of geographical rotation.

Guidelines, para.87:

b. All vacancies announced

c. Announcements are sent to all Member States and UN agencies, funds and programmes

d. Candidacies are sought from the region whose turn it is to hold the position

VI. MEASURES TO ENHANCE TRANSPARENCY: GUIDELINES AND WEBSITE

87. The selection and appointment of senior managers should comply with the provisions of the United Nations Charter, in particular Article 101, paragraph 3, and the relevant General Assembly resolutions as stated in paragraph 15 above. The Inspectors believe that implementation of the following guidelines in tandem with the process outlined in the Secretary General's accountability report (para. 40 above) coupled with the establishment of a dedicated website designed to convey specific information as per paragraph 88 below should further enhance transparency in the selection and appointment process of senior managers.

Guidelines

(a) The recruitment process should be planned to allow for a minimum of two weeks of overlap between the two incumbents;

(b) Vacancy announcements should be issued for all positions except for special envoys and personal advisers as soon as it is known that a vacancy will

arise, stipulating clearly defined responsibilities and specific qualifications/ experience required in un-ambiguous terms;

(c) Notes verbale, transmitting vacancy announcements for every position should be sent to all Member States and all United Nations agencies, funds and programmes with at least one month notice;

(d) For those positions where the United Nations General Assembly has decided that there be geographic rotation (as per paragraph 45 above), between the "North" and the "South", candidacies should be sought only from the region whose turn it is to hold the position. For example, assuming that a current incumbent is from the North and a successor should be from the South, notes verbale with the vacancy announcement requesting nominations of candidates for the upcoming vacancy should be sent to the Member States from the South only, with information to the Member States from the North;

(e) Basic screening to filter out candidates who do not satisfy mandatory eligibility criteria should be performed by OHRM or its equivalent. Only candidates who satisfy the obligatory requirements as stated in the vacancy announcement should be forwarded for consideration of the interview panel;

(f) Once the interview panel has decided on a short list, that list should revert to OHRM or its equivalent for a thorough vetting of the references, performance record and information provided by the candidates. Once completed, OHRM or its equivalent should return the short-list to the interview panel for forwarding to the Secretary-General for selection;

(g) At the conclusion of their work, the interview panel should prepare a summary report detailing the information as indicated in the website per paragraph 88 (f) and (g) below. This report should be shared by the Secretary-General in his consultations with Member States;

(h) There should be a uniform application of the selection and appointment process. Candidates are to be treated equally. All short-listed candidates should be interviewed and all interviews should be performed by the same official, whether this is the Secretary-General himself or his representative;

(i) Long and short-listed candidates should be provided with feedback on their progress throughout the selection process if they so request; but in all cases interviewees should be notified of the outcome of the recruitment process. No feedback should be provided to the Member States on the candidates they nominated. Member States should be able to follow recruitment developments via periodic updates on a dedicated web-site as detailed in paragraph 88 below;

(j) If there are deviations from the selection and appointment process, the Secretary-General should fully disclose them in advance of the appointment or as soon as they need to occur;

(k) For appointments requiring consultations with Member States, at least a week prior to announcing the appointment, the Secretary-General should consult with the Chairs/coordinators of the regional groups of Member States. Consultation in this regard means that the Secretary-General informs the Chairs/coordinators of his choice and that the Chairs/coordinators are given a week to register with the Secretary-General any concerns of their regional group. It is the responsibility of the

Member States to organize themselves within their regional groups to ensure that the Chairs/coordinators represent the views of the entire group;

(l) Bi-annual briefings should be held by the Secretary-General for Permanent Representatives on the selection process and appointments made in the preceding six months summarizing the information contained in the reports of interview panels as per the guideline in paragraph 87 (g) above.

Website

88. The EOSG should set-up and maintain a dedicated website, which should be updated at least monthly to convey specific information on senior appointments of USGs and ASGs to Member States and potential candidates. The website should contain information as recommended below. Information in points (c) to (h) should be available to the public, while access to information in points (a) and (b) should be restricted to the Permanent Missions:

(a) A listing of all current appointments at USG and ASG levels, other than special envoys and personal advisers, containing information similar in content and presentation to that in annex I. This will allow Member States advance planning to find the best qualified candidates;

(b) A separate listing of upcoming vacancies of USG and ASG positions, other than special envoys and personal advisers, over a two month period. This listing should be based solely on the date of expiry of each appointment regardless of the individuals' or Secretary-General's intentions to extend or discontinue their contract;

(c) The vacancy announcement for each vacancy should be published on the website as soon as it is clear that a vacancy will arise;

(d) An indication of intent to advertise in the print media as well as an indication of the need for input from civil society so as to cast the net more widely;

(e) An indication of the expected time-line for each vacancy specifying the date by which:

(i) All applications need to be received;

(ii) Candidates selected for interviews will be contacted;

(iii) Interviewed candidates will be informed of the results of the recruitment process;

(iv) Consultations are expected to be conducted and the final selection announced;

(v) The new incumbent is expected to report for duty;

(f) Disclosure of the terms of reference for interview panels established for each vacancy with an explanation of how the interview panel was constituted, how many members served on the interview panel, what were their grades, and whether other agencies/entities and/or external experts were invited to sit on the interview panel and why;

(g) Disclosure of the number of candidates who applied for each vacancy, nationalities and gender of the candidates interviewed by the interview panel (the

long list) and also of the candidates on the short-list recommended by the interview panel to the Secretary-General; and,

(h) The statement announcing the final choice of candidate.

VII. RECOMMENDATIONS

89. Implementation of the following recommendations should result in enhanced accountability and transparency in the selection and appointment of senior managers in the United Nations Secretariat.

Recommendation 1

90. The General Assembly should direct the Executive Office of the Secretary-General to set-up and maintain on a monthly basis a dedicated website which will convey specific information on senior appointments to Member States and potential candidates as described in paragraph 88 of this report.

Recommendation 2

91. The General Assembly should endorse the guidelines in paragraph 87 (a) to (l) of this report and direct the Secretary-General to follow the guidelines in selecting and appointing senior managers in tandem with the process outlined in the Secretary-General's accountability report (A/64/640).

Annex I

Under-Secretaries-General and Assistant Secretaries-General as of 31 December 2010

No.	Department/Entity	Name	Function	Classification	Rank	Female	Male	Country of Nationality	Date Appointed	Contractual Status	Duration of Appointment [31]	Funding Source	Subject to Geographical Distribution	Position Vacant
1	Alliance of Civilizations	Jorge Sampaio	High Representative	Representative	USG		M	Portugal	1-May-07	WAE	30-Apr-11		No	
2	Border Controversy between Guyana and Venezuela	Norman Girvan	Personal Representative	Representative	USG		M	Jamaica	1-Mar-10	WAE	28-Feb-11		No	
3	Border dispute between Equatorial Guinea and Gabon	Nicolas Michel	Special Adviser and Mediator	Adviser	USG		M	Switzerland	1-Sep-08	WAE	30-Nov-10		No	
4	Compliance by Iraq with its obligations regarding Kuwait	Gennady P. Tarasov	Secretary-General's High-level Coordinator	Coordinator	USG		M	Russia	24-Apr-08	WAE	31-Dec-10		No	
5	Cyprus	Alexander Downer	Special Adviser	Adviser	USG		M	Australia	14-Jul-08	WAE	13-Jan-11		No	
6	DESA	Sha Zukang	USG for Economic and Social Affairs	Head	USG		M	China	1-Jul-07	FT	30-Jun-11	RB	Yes	
7	DFS	Susana Malcorra	USG for Field Support	Head	USG	F		Argentina	4-May-08	FT	3-May-11	RB	Yes	
8	DGACM	Shaaban Muhammad Shaaban	USG for General Assembly Affairs and Conference Management	Head	USG		M	Egypt	1-Mar-07	FT	28-Feb-11	RB	Yes	
9	DM	Angela Kane	USG for Management	Head	USG	F		Germany	1-Jun-08	FT	31-May-11	RB	Yes	
10	DPA	B. Lynn Pascoe	USG for Political Affairs	Head	USG		M	USA	1-Mar-07	FT	28-Feb-11	RB	Yes	
11	DPI	Kiyotaka Akasaka	USG for Communication and Public Information	Head	USG		M	Japan	1-Apr-07	FT	31-Mar-11	RB	Yes	
12	DPKO	Alain Le Roy	USG for Peacekeeping Operations	Head	USG		M	France	24-Aug-08	FT	23-Aug-11	RB	Yes	
13	DSS	Gregory B. Starr	USG for Safety and Security	Head	USG		M	USA	31-May-09	FT	31-May-11	RB	Yes	
14	Economic and Social Commission for Asia and the Pacific	Noeleen Heyzer	Executive Secretary	Head	USG	F		Singapore	23-Aug-07	FT	22-Aug-11	RB	Yes	
15	Economic and Social Commission for Western Asia	Rima Khalaf	Executive Secretary	Head	USG	F		Jordan	1-Oct-10	FT	30-Sep-12	RB	Yes	

[31] According to Regulation 4.5 (a), United Nations Staff Rules and Regulations, ST/SGB/2010/6, the appointment of Under-Secretaries-General and Assistant Secretaries-General is normally for a period of up to five years, subject to prolongations or renewal. Contracts are most commonly issued on a yearly basis.

No.	Department/Entity	Name	Function	Classification	Rank	Female	Male	Country of Nationality	Date Appointed	Contractual Status	Duration of Appointment [31]	Funding Source	Subject to Geographical Distribution	Position Vacant
16	Economic Commission for Africa	Abdoulie Janneh	Executive Secretary	Head	USG		M	Gambia	1-Nov-05	FT	31-Oct-11	RB	Yes	
17	Economic Commission for Europe	Jan Kubis	Executive Secretary	Head	USG		M	Slovakia	19-Dec-08	FT	26-Jan-11	RB	Yes	
18	Economic Commission for Latin America and the Caribbean	Alicia Barcena	Executive Secretary	Head	USG	F		Mexico	1-Jul-08	FT	30-Jun-11	RB	Yes	
19	EOSG	Asha-Rose Migiro	Deputy Secretary-General	Head	USG	F		Tanzania	1-Feb-07	FT	31-Jan-11	RB	Yes	
20	EOSG	Vijay K. Nambiar	Chef de Cabinet	Head	USG		M	India	1-Jan-07	FT	31-Dec-10	RB	Yes	
21	Greece-FYROM Talks	Matthew Nimetz	Personal Envoy	Envoy	USG		M	USA	15-Mar-07	$1/yr	14-Mar-11		No	
22	Haiti	Paul Farmer	Deputy Special Envoy	Envoy	USG		M	USA	11-Aug-09	$1/yr	10-Aug-11		No	
23	Haiti	William J. Clinton	Special Envoy	Envoy	USG		M	USA	15-Jun-09	$1/yr	14-Jun-11		No	
24	HIV/AIDS in Asia	Nafis Sadik	Special Envoy	Envoy	USG	F		Pakistan	1-Jan-01	$1/yr	31-Dec-10		No	
25	HIV/AIDS in Eastern Europe		Special Envoy	Envoy	USG								No	Vacant
26	Implementation of Security Council resolution 1559/2004	Terje Roed-Larsen	Special Envoy	Envoy	USG		M	Norway	1-Jan-05	$1/yr	31-Dec-10		No	
27	Innovative Finance for Development	Philippe Douste-Blazy	Special Adviser	Adviser	USG		M	France	1-Jun-08	$1/yr	31-May-11		No	
28	Internet Governance	Nitin Desai	Adviser of the Secretary-General	Adviser	USG		M	India	1-Jan-06	WAE	31-Dec-10		No	
29	Issue of Human Rights and Transnational Corporations and other Business Enterprises	John Ruggie	SRSG	Representative	USG		M	USA	28-Jul-05				No	
30	Joint African Union - United Nations Mediation Support Team (JMST)	Djibril Yipene Bassole	Chief Mediator	Mediator	USG		M	Burkina Faso	31-Jul-08	FT	31-Jan-11		No	
31	Migration	Peter Sutherland	SRSG	Representative	USG		M	Ireland	23-Jan-06	$1/yr	31-Dec-10		No	
32	Millennium Development Goals	Jeffrey Sachs	Senior Adviser	Adviser	USG		M	USA	1-Feb-02	$1/yr	31-Aug-11		No	
33	MINURCAT	Youssef Mahmoud	SRSG	Representative	USG		M	Tunisia	1-Apr-10	FT	31-Dec-10		No	
34	MINUSTAH	Edmond Mulet	SRSG	Representative	USG		M	Guatemala	1-Apr-10	FT	31-Mar-11		No	
35	MONUSCO	Roger A. Meece	SRSG	Representative	USG		M	USA	11-Jul-10	FT	10-Jul-11		No	

No.	Department/Entity	Name	Function	Classification	Rank	Female	Male	Country of Nationality	Date Appointed	Contractual Status	Duration of Appointment [31]	Funding Source	Subject to Geographical Distribution	Position Vacant
36	OCHA	Valerie Amos	USG for Humanitarian Affairs, Emergency Relief Coordinator	Head	USG	F		UK	6-Sep-10	FT	5-Sep-12	RB	Yes	
37	Office for Disarmament Affairs	Sergio de Queiroz Duarte	High Representative	Representative	USG		M	Brazil	11-Jul-07	FT	10-Jul-11	RB	Yes	
38	OHCHR	Navanethem Pillay	High Commissioner	Head	USG	F		South Africa	1-Sep-08	FT	31-Aug-12	RB	Yes	
39	OHRLLS	Cheick Sidi Diarra	Special Adviser on Africa and High Representative for LLS	Head	USG		M	Mali	1-Aug-07	FT	31-Jul-11	RB	Yes	
40	OIOS	Carman Louise Lapointe	USG for Oversight Services	Head	USG	F		Canada	14-Sep-10	FT	13-Sep-15	RB	Yes	
41	OLA	Patricia O'Brien	USG for Legal Affairs	Head	USG	F		Ireland	24-Aug-10	FT	23-Aug-11	RB	Yes	
42	OSRSG/CAAC	Radhika Coomaraswamy	SRSG	Representative	USG	F		Sri Lanka	15-Apr-06	FT	28-Feb-11	RB	Yes	
43	Pakistan	Rauf Engin Soysal	Special Envoy	Envoy	USG		M	Turkey	27-Sep-10	FT	27-Sep-11		No	
44	Prevention of Genocide	Francis Deng	Special Adviser to the Secretary-General	Adviser	USG		M	Sudan	1-Jan-08	FT	31-Jul-11		No	
45	Sexual Violence in Conflict	Margot Wallstrom	SRSG	Representative	USG	F		Sweden	1-Apr-10	FT	31-Mar-12		No	
46	Special Adviser on Human Security	Yukio Takasu	Special Adviser	Adviser	USG		M	Japan	10-Dec-10				No	
47	Special Adviser to the Secretary-General	Iqbal Riza	Special Adviser to the Secretary-General	Adviser	USG		M	Pakistan		$1/yr	28-Feb-11		No	
48	Special Adviser to the Secretary-General	Joseph V. Reed	Special Adviser to the Secretary-General	Adviser	USG		M	USA	1-Jan-05	$1/yr	28-Feb-11		No	
49	Sport for Development and Peace	Wilfried Lemke	Special Adviser	Adviser	USG		M	Germany	11-Apr-08	$1/yr	10-Apr-11		No	
50	Tuberculosis	Jorge Sampaio	Special Envoy	Envoy	USG		M	Portugal	1-May-07	WAE			No	
51	UN Habitat	Joan Clos	Executive Director	Head	USG		M	Spain	18-Oct-10	FT	17-Oct-14	RB	Yes	
52	UN WOMEN	Michelle Bachelet	Executive Director	Head	USG	F		Chile	19-Oct 10	FT	18-Sep-14		No	
53	UNAMA	Staffan de Mistura	SRSG	Representative	USG		M	Sweden	1-Mar-10	FT	28-Feb-11		No	
54	UNAMI	Ad Melkert	SRSG	Representative	USG		M	Netherlands	9-Jul-10	FT	8-Jul-11		No	
55	UNAMID	Ibrahim Gambari	Joint Special Representative	Representative	USG		M	Nigeria	1-Jan-10	FT	31-Dec-10		No	
56	UNCTAD	Supachai Panitchpakdi	Secretary-General	Head	USG		M	Thailand	1-Sep-05	FT	31-Aug-13	RB	Yes	
57	UNHCR	Antonio Manuel de Oliveira Guterres	High Commissioner	Head	USG		M	Portugal	15-Jun-05				No	

No.	Department/Entity	Name	Function	Classification	Rank	Female	Male	Country of Nationality	Date Appointed	Contractual Status	Duration of Appointment [1]	Funding Source	Subject to Geographical Distribution	Position Vacant
58	UNMIK	Lamberto Zannier	SRSG	Representative	USG		M	Italy	20-Jun-08	FT	19-Jun-11		No	
59	UNMIL	Ellen Margrethe Loj	SRSG	Representative	USG	F		Denmark	16-Jan-08	FT	15-Sep-11		No	
60	UNMIS	Haile Menkerios	SRSG	Representative	USG		M	South Africa	1-Mar-10	FT	28-Feb-11		No	
61	UNMIT	Ameerah Haq	SRSG	Representative	USG	F		Bangladesh	3-Jan-10	FT	2-Jan-11		No	
62	UNOCI	Choi Young-Jin	SRSG	Representative	USG		M	ROK	29-Oct-07	FT	30-Apr-11		No	
63	UNOG	Sergei Ordzhonikidze	Director-General	Head	USG		M	Russia	1-Mar-02	FT	28-Feb-11	RB	Yes	
64	UNON/UNEP	Achim Steiner	Director-General of UNON and Executive Director of UNEP	Head	USG		M	Germany	15-Jun-06	FT	14-Jun-14	RB	Yes	
65	UNOV/UNODC	Yuri Fedotov	Director-General of UNOV and Executive Director of UNODC	Head	USG		M	Russia	13-Sep-10	FT	19-Sep-12	RB	Yes	
66	UNOWA	Said Djinnit	SRSG	Representative	USG		M	Algeria	1-Apr-08	FT	31-Mar-11		No	
67	UNPOS	Augustine P. Mahiga	SRSG	Representative	USG		M	Tanzania	1-Jul-10	FT	30-Jun-11		No	
68	UNRWA	Filippo Grandi	Commissioner-General	Head	USG		M	Italy	20-Jan-10				No	
69	UNSCO	Robert H. Serry	Special Coordinator/PRSG	Coordinator	USG		M	Netherlands	1-Jan-08	FT	31-Dec-10		No	
70	UNSCOL	Michael Williams	Special Coordinator/PRSG	Coordinator	USG		M	UK	1-Jun-07	FT	30-Sep-11		No	
71	Western Sahara	Christopher Ross	Personal Envoy	Envoy	USG		M	USA	18-Jan-09	WAE	17-Jan-11		No	
72	BINUB	Charles Petrie	Executive Representative/RC/RR/HC and Designated Official	Representative	ASG		M	France	16-Apr-10	FT	15-Apr-11		No	
	BNUB	Karin Landgren	Special Representative and Head of the United Nations Office in Burundi	Representative	ASG	F		Sweden	Announced on 31-Dec-10	FT			No	
73	BINUCA	Sahle-Work Zewde	SRSG	Representative	ASG		M	Ethiopia	14-Jun-09	FT	13-Jun-11		No	
74	CTED	Michael Peter Floyd Smith	Executive Director	Head	ASG		M	Australia	19-Nov-07	FT	31-Dec-10	RB	Yes	
75	DESA	Thomas Stelzer	ASG for Policy Coordination and Inter-agency Affairs	Head	ASG		M	Austria	4-Mar-08	FT	3-Mar-11	RB	Yes	
76	DESA	Kwame S. Jomo	ASG for Economic Affairs	Head	ASG		M	Malaysia	1-Jan-05	FT	31-Dec-10	RB	Yes	
77	DESA	Rachel N. Mayanja	Special Adviser on Gender Issues and Advancement of Women	Adviser	ASG	F		Uganda	15-Nov-04	FT	31-Dec-10	RB	Yes	
78	DFS	Anthony Banbury	ASG for Field Support	Head	ASG		M	USA	22-Jun-09	FT	21-Jun-11	RB	Yes	

No.	Department/Entity	Name	Function	Classification	Rank	Female	Male	Country of Nationality	Date Appointed	Contractual Status	Duration of Appointment [31]	Funding Source	Subject to Geographical Distribution	Position Vacant
79	DGACM	Franz Baumann	ASG for General Assembly Affairs and Conference Management	Head	ASG		M	Germany	13-Jun-09	FT	12-Jun-11	RB	Yes	
80	DM/CMP	Michael Adlerstein	Executive Director	Head	ASG		M	USA	30-Jul-07	FT	20-Jul-11		No	
81	DM/OCSS	Warren Edward Sach	ASG for Central Support Services	Head	ASG		M	UK	19-Aug-08	FT	18-Aug-11	RB	Yes	
82	DM/OHRM	Catherine Pollard	ASG for HR Management	Head	ASG	F		Guyana	27-May-08	FT	26-May-11	RB	Yes	
83	DM/OPPBA	Jun Yamazaki	Controller	Head	ASG		M	Japan	19-Aug-08	FT	18-Aug-11	RB	Yes	
84	DPA	Taye Brook Zerihoun	ASG for Political Affairs	Head	ASG		M	Ethiopia	1-May-10	FT	30-Apr-11		No	
85	DPA	Oscar Fernandez-Taranco	ASG for Political Affairs	Head	ASG		M	Argentina	1-Jul-09	FT	30-Jun-11	RB	Yes	
86	DPKO	Babacar Gaye	Military Adviser	Head	ASG		M	Senegal	13-Sep-10	FT	12-Sep-11		No	
87	DPKO	Atul Khare	ASG for Peacekeeping Operations	Head	ASG		M	India	1-May-10	FT	30-Apr-11		No	
88	DPKO	Dimitry Titov	ASG for Rule of Law and Security Institutions	Head	ASG		M	Russia	30-Aug-07	FT	29-Aug-11	RB	Yes	
89	EOSG	Kim Won-Soo	Deputy Chef de Cabinet	Head	ASG		M	ROK	1-Jan-07	FT	31-Dec-10	RB	Yes	
90	EOSG	Robert C. Orr	ASG for Policy Planning	Head	ASG		M	USA	16-Aug-04	FT	31-Dec-10	RB	Yes	
91	HIV/AIDS in Africa	Elizabeth Mataka	Special Envoy	Envoy	ASG	F		Botswana	21-May-07	$1/yr	31-Dec-10		No	
92	HIV/AIDS in the Caribbean Region	George Alleyne	Special Envoy	Envoy	ASG		M	Barbados	4-Feb-03	$1/yr	31-Dec-10		No	
93	Human Rights for Internally Displaced Persons	Walter Kalin	Representative	Representative	ASG		M	Switzerland	21-Sep-04				No	
94	ICT	Choi Soon-hong	Chief Information Technology Officer	Head	ASG		M	ROK	28-Aug-07	FT	27-Aug-11	RB	Yes	
95	Implementation of the International Strategy for Disaster Reduction	Margareta Wahlstrom	SRSG	Representative	ASG	F		Sweden	1-Jan-09	FT	31-Dec-10		No	
96	Joint African Union - United Nations Mediation Support Team (JMST)	Azouz Ennifar	Deputy Chief Mediator	Mediator	ASG		M	Tunisia	20-Oct-08	FT	30-Nov-10		No	

No.	Department/Entity	Name	Function	Classification	Rank	Female	Male	Country of Nationality	Date Appointed	Contractual Status	Duration of Appointment [31]	Funding Source	Subject to Geographical Distribution	Position Vacant
97	Joint Incident Prevention and Response Mechanism and the international discussions in Geneva on security and stability and the return of internally displaced persons and refugees	Antti Turunen	UN Representative	Representative	ASG		M	Finland	14-Mar-10	FT	31-Dec-10		No	
98	Malaria	Ray Chambers	Special Envoy	Envoy	ASG		M	USA	14-Feb-08	$1/yr	13-Feb-11		No	
99	MINURCAT	Rima Salah	DSRSG	Representative	ASG	F		Jordan	7-May-08	FT	31-Dec-10		No	
100	MINURSO	Hany Abdel-Aziz	SRSG	Representative	ASG		M	Egypt	5-Nov-09	FT	4-Nov-10		No	
101	MINUSTAH	Kevin Kennedy	DSRSG	Representative	ASG		M	USA	8-Apr-10	FT	7-Apr-11		No	
102	MINUSTAH	Nigel Fisher	DSRSG/RC/HC	Representative	ASG		M	Canada	3-Apr-10	FT	15-Jul-11		No	
103	MONUSCO	Chander Prakash Wadhwa	Force Commander	Force Commander	ASG		M	India	13-Aug-10	FT	12-Aug-11		No	
104	MONUSCO	Fidele Sarassoro	DSRSG/RC/HC	Representative	ASG		M	Cote d'Ivoire	7-Feb-10	FT	6-Feb-11		No	
105	MONUSCO	Leila Zerrougui	DSRSG	Representative	ASG	F		Algeria	10-Oct-08	FT	9-Oct-10		No	
106	OCHA	Catherine Bragg	ASG for Humanitarian Affairs and Deputy Emergency Relief Coordinator	Head	ASG	F		Canada	11-Feb-08	FT	10-Feb-11	RB	Yes	
107	OHCHR	Ivan Simonovic	ASG for Human Rights, New York	Head	ASG		M	Croatia	17-Jul-10	FT	16-Jul-11		No	
108	OHCHR	Thomas Alexander Aleinikoff	Deputy High Commissioner for Human Rights, Geneva	Head	ASG		M	USA	30-Jan-10	FT	29-Jan-12		No	
109	OHCHR	Kang Kyung-wha	Deputy High Commissioner for Human Rights, Geneva	Head	ASG	F		ROK	1-Jan-07	FT	31-Dec-10	RB	Yes	
110	OLA	D. Stephen Mathias	ASG for Legal Affairs	Head	ASG		M	USA	7-Sep-10	FT	6-Sep-12	RB	Yes	
111	OMBUDSMAN	Johnston Barkat	Ombudsman	Head	ASG		M	USA	21-Apr-08	FT	20-Apr-13	RB	Yes	
112	PBSO	Judy Cheng-Hopkins	ASG for Peacebuilding Support	Head	ASG	F		Malaysia	1-Sep-09	FT	31-Aug-11	RB	Yes	
113	Regional Centre for Preventive Diplomacy for Central Asia	Miroslav Jenca	SRSG and Head	Representative	ASG		M	Slovakia	1-Jun-08	FT	31-May-11		No	
114	Senior UN System Coordinator for Avian and Human Influenza	David Nabarro	Coordinator	Representative	ASG		M	UK	1-Oct-05		30-Sep-11		No	

No.	Department/Entity	Name	Function	Classification	Rank	Female	Male	Country of Nationality	Date Appointed	Contractual Status	Duration of Appointment [37]	Funding Source	Subject to Geographical Distribution	Position Vacant
115	Special Adviser to the Secretary-General	Edward C. Luck	Special Adviser	Adviser	ASG		M	USA	21-Feb-08	$1/yr	20-Feb-11		No	
116	UN Habitat	Inga Bjork-Klevby	Deputy Executive Director	Head	ASG	F		Sweden	1-Jan-06	FT	28-Dec-10		No	
117	UNAMA	Martin Kobler	DSRSG	Representative	ASG		M	Germany	2-Apr-10	FT	1-Apr-11		No	
118	UNAMA	Robert Watkins	DSRSG/RC/HC	Representative	ASG		M	Canada	24-Jun-09	FT	23-Jun-11		No	
119	UNAMI	Jerzy Skuratowicz	DSRSG	Representative	ASG		M	Poland	9-Jan-10	FT	8-Jan-11		No	
120	UNAMI	Christine McNab	DSRSG/RC/HC	Representative	ASG	F		Sweden	1-Nov-09	FT	31-Oct-11		No	
121	UNAMID	Mohamed Yonis	Deputy Joint AU-UN Special Representative for Operations and Management	Representative	ASG		M	Somalia	1-Sep-09	FT	31-Aug-11		No	
122	UNAMID	Patrick Nyamvumba	Force Commander	Force Commander	ASG		M	Rwanda	20-Aug-09	FT	19-Aug-11		No	
123	UNAMID		Deputy Joint AU-UN Special Representative	Representative	ASG								No	Vacant
124	UNCTAD	Petko Draganov	Deputy Secretary-General	Head	ASG		M	Bulgaria	1-May-09	FT	30-Apr-11	RB	Yes	
125	UNCTAD	Patricia Francis	Executive Director	Head	ASG	F		Jamaica	4-Jun-06	FT	3-Jun-12		No	
126	UNDOF	Natalio C. Ecarma III	Head of Mission/Force Commander	Force Commander	ASG		M	Philippines	14-Feb-10	FT	13-Feb-11		No	
127	UNFICYP	Lisa Buttenheim	SRSG	Representative	ASG	F		USA	16-Aug-10	FT	15-Aug-11		No	
128	UNHCR	T. Alexander Aleinikoff	Deputy High Commissioner	Head	ASG		M	USA	2-Dec-09				No	
129	UNIFIL	Alberto Asarta Cuevas	Head of Mission/Force Commander	Force Commander	ASG		M	Spain	20-Jan-10	FT	19-Jan-11		No	
130	UNIPSIL	Michael von der Schulenburg	Executive Representative	Representative	ASG		M	Germany	9-Jan-09	FT	8-Jan-11		No	
131	United Nations International School	Silvia Fuhrman	SRSG	Representative	ASG	F		USA	1-Aug-96	FT	30-Jun-11		No	
132	United Nations Office to the African Union in Addis Ababa	Zachary Muburi-Muita	Head of Office	Head	ASG		M	Kenya	29-Sep-10	FT	28-Sep-11		No	
133	UNMIL	Moustapha Soumare	DSRSG/RC/HC	Representative	ASG		M	Mali	30-Aug-09	FT	29-Aug-11		No	
134	UNMIL	Henrietta Joy Abena Nyarko Mensa-Bonsu	DSRSG	Representative	ASG	F		Ghana	28-Oct-07	FT	31-Oct-11		No	
135	UNMIS	Georg Charpentier	DSRSG/RC/HC	Representative	ASG		M	Finland	20-Feb-10	FT	19-Feb-11		No	
136	UNMIS	Jasbir Singh Lidder	DSRSG	Representative	ASG		M	India	10-Jan-10	FT	9-Jan-11		No	

No.	Department/Entity	Name	Function	Classification	Rank	Female	Male	Country of Nationality	Date Appointed	Contractual Status	Duration of Appointment [31]	Funding Source	Subject to Geographical Distribution	Position Vacant
137	UNMIT	Shigeru Mochida	DSRSG	Representative	ASG		M	Japan	30-Aug-10	FT	29-Aug-11		No	
138	UNMIT	Finn Reske-Nielsen	DSRSG/RC/HC	Representative	ASG		M	Denmark	28-Aug-06	FT	27-Aug-11		No	
139	UNOCI	Ndolamb Ngokwey	DSRSG/RC/HC	Representative	ASG		M	DR Congo	29-Jul-10	FT	28-Jul-11		No	
140	UNOCI	Abou Moussa	Principal DSRSG	Representative	ASG		M	Chad	1-Sep-05	FT	31-Dec-10		No	
141	UNOG		Deputy Director-General	Head	ASG					FT			No	Vacant
142	UNOGBIS	Joseph Mutaboba	SRSG	Representative	ASG		M	Rwanda	7-Feb-09	FT	31-Dec-10		No	
143	UNON/UNEP	Angela Cropper	Deputy Executive Director of UNEP	Head	ASG	F		Trinidad and Tobago	1-Feb-08	FT	31-Jan-11		No	
144	UNPOS		DSRSG	Representative	ASG					FT			No	Vacant
145	UNRWA	Margot Ellis	Deputy Commissioner-General	Head	ASG	F		USA	20-Jan-10				No	
146	UNSCO	Maxwell Gaylard	Deputy Special Coordinator/RC/HC	Coordinator	ASG		M	Australia	30-Mar-08	FT	29-Mar-11		No	
147	UNSCOL	Marta Ruedas	Deputy Special Coordinator/RC/HC	Coordinator	ASG	F		Spain	1-Oct-07	FT	31-Dec-10		No	
		Robert Watkins	Deputy Special Coordinator/RC/HC	Coordinator	ASG		M	Canada	Announced on 22-Dec-10	FT			No	
148	UNTSO	Robert Mood	Chief of Staff and Head of Mission	Head	ASG		M	Norway	10-Feb-09	FT	9-Feb-11		No	
149	Violence Against Children	Marta Santos Pais	SRSG	Representative	ASG	F		Portugal	1-Sep-09	FT	31-Aug-11		No	

Summary	USG	ASG	Total
Total	71	78	149
Vacant	1	3	4
Appointments announced	-	2	2
Female	16	19	35
Male	54	56	110
Fixed term	47	69	116
WAE	8	0	8
$1/yr	11	4	15
Funded from regular budget (RB)	27	20	47
Posts subject to geographical distribution	27	20	47

Annex II
Historical overview of Under-Secretaries-General and Assistant Secretaries-General or equivalent ranks[32]

Department	Rank	Year	Name	Country	Gender
Executive Office of the Secretary-General	USG:	2007-current	Asha-Rose Migiro	Tanzania	F
		2007-current	Vijay K. Nambiar	India	M
		2005-2006	Mark Malloch Brown	UK	M
		2004-2005	Lakhdar Brahimi	Algeria	M
		2003-2003	Maurice Strong	Canada	M
		2002-2002	Martin Lees	UK	M
		2001-2001	Nafis I. Sadik	Pakistan	F
		1999-1999	Mohamed Sahnoun	Algeria	M
		1999-1999	Diego Cordovez	Ecuador	M
		1999-1999	Jamsheed K.A. Marker	Pakistan	M
		1998-2006	Louise Frechette	Canada	F
		1997-2005	Iqbal Riza	Pakistan	M
		1997-2001	Maurice Strong	Canada	M
		1993-1996	Chinmaya R. Gharekhan	India	M
		1992-1992	Joseph Verner Reed	USA	M
		1982-1992	Virendra Dayal	India	M
		1978-1981	Rafeeuddin Ahmed	Pakistan	M
		1961-1972	Chakravarthi V. Narasmihan	India	M
		1953-1961	Andrew W. Cordier	USA	M
	ASG:	2007-current	Kim Won-Soo	ROK	M
		2005-2006	Alicea Barcena Ibarra	Mexico	F
		2004-current	Robert C. Orr	USA	M
		2004-2005	Elisabeth Lindenmayer	France	F
		2002-2003	Patricia M. Durrant	Jamaica	F
		2002-2002	Diego Arria	Venezuela	M
		2001-2002	Michael Doyle	USA	M
		1998-1999	Miles Stoby	Guyana	M
		1997-2002	Gillian M. Sorensen	USA	F
		1997-2000	John Ruggie	USA	M
		1995-1996	Rosario Green	Mexico	F
		1994-1994	Benita Ferrero-Waldner	Austria	F
		1992-1994	Alvaro de Soto	Peru	M
		1991-1996	Jean-Claude Aime	Haiti	M
		1988-1990	Alvaro de Soto	Peru	M
		1986-1993	Aly I. Teymour	Egypt	M
Department of Field Support	USG:	2008-current	Susana Malcorra	Argentina	F
	ASG:	2009-current	Anthony Banbury	USA	M
		2007-2008	Jane Hall Lute	USA	F

[32] Source: Yearbooks of the United Nations, United Nations Info Quest (UNIQUE), United Nations Dag Hammarskjold Library.

Department	Rank	Year	Name	Country	Gender
Department of Peacekeeping Operations	USG	2008-current	Alain Le Roy	France	M
		2000-2008	Jean-Marie Guehenno	France	M
		1997-2000	Bernard Miyet	France	M
		1993-1996	Kofi A. Annan	Ghana	M
		1992-1993	Marrack I. Goulding	UK	M
	ASG	2010-current	Atul Khare	India	M
		2010-current	Babacar Gaye	Senegal	M
		2008-2010	Chikadibia Obiakor	Nigeria	M
		2007-current	Dmitry Titov	Russian Federation	M
		2007-2010	Edmond Mulet	Guatemala	M
		2003-2007	Jane Hall Lute	USA	F
		2001-2003	Michael A. Sheehan	USA	M
		1999-2007	Alvaro de Soto	Peru	M
		1998-1999	Choi Young-Jin	ROK	M
		1997-2007	Hedi Annabi	Tunisia	M
		1994-1998	Manfred Eisele	Germany	M
		1993-1996	Iqbal Riza	Pakistan	M
		1992-1992	Kofi A. Annan	Ghana	M
		1975-1977	Rafeeuddin Ahmed	Pakistan	M
		1973-1974	Ismat Kittani	Iraq	M
Department of Political Affairs and predecessors	USG	2007-current	B. Lynn Pascoe	USA	M
		2005-2007	Ibrahim A. Gambari	Nigeria	M
		1999-2002	Ibrahim A. Gambari	Nigeria	M
		1997-2005	Kieran Prendergast	UK	M
		1995-1995	Mahmoud Mestiri	Tunisia	M
		1993-1996	Marrack I. Goulding	UK	M
		1992-1993	Vladimir Petrovsky	Russian Federation	M
		1991-1994	James O.C. Jonah	Sierra Leone	M
		1989-1991	Ronald I. Spiers	USA	M
		1987-1991	Vasiliy S. Safronchuk	USSR	M
		1987-1988	Joseph Verner Reed	USA	M
		1986-1991	Marrack I. Goulding	UK	M
		1983-1986	Rafeeuddin Ahmed	Pakistan	M
		1981-1988	Diego Cordovez	Ecuador	M
		1981-1986	Viacheslav A. Ustinov	USSR	M
		1979-1990	Abdulrahim Abby Farah	Somalia	M
		1979-1982	Issoufou Saidou Djermakoye	Niger	M
		1979-1980	Javier Perez de Cuellar	Peru	M
		1978-1980	Mikhail D. Sytenko	USSR	M
		1976-1986	William B. Buffum	USA	M
		1974-1986	Brian E. Urquhart	UK	M
		1973-1977	Arkady N. Shevchenko	USSR	M
		1972-1978	Tang Ming-chao	China	M

Department	Rank	Year	Name	Country	Gender
		1972-1975	Bradford Morse	USA	M
		1971-1978	Roberto E. Guyer	Argentina	M
		1968-1972	Leonid N. Kutakov	USSR	M
		1967-1972	Issoufou Saidou Djermakoye	Niger	M
		1965-1970	Jose Rolz-Bennett	Guatemala	M
		1965-1967	Alexei E. Nesterenko	USSR	M
		1963-1965	Godfrey K. J. Amachree	Nigeria	M
		1963-1964	Vladimir P. Suslov	USSR	M
		1962-1963	Omar Loutfi	United Arab Republic	M
		1962-1963	Evgeny D. Kiselyv	USSR	M
		1960-1961	Georgy P. Arkadev	USSR	M
		1959-1960	Chakravarthi V. Narasmihan	India	M
		1958-1959	Anatoly F. Dobrynin	USSR	M
		1958-1958	Humphrey Trevelyan	UK	M
		1956-1964	Dragoslav Protitch	Yugoslavia	M
		1954-1970	Ralph Bunche	USA	M
		1954-1957	Benjamin A. Cohen	Chile	M
		1953-1956	Ilya S. Tchernychev	USSR	M
		1953-1953	Victor Hoo	China	M
		1952-1953	Constantin E. Zinchenko	USSR	M
	ASG:	2010-current	Taye-Brook Zerihoun	Ethiopia	M
		2009-current	Oscar Fernandez-Taranco	Argentina	M
		2007-2010	Haile Menkerios	Eritrea	M
		2005-2008	Angela Kane	Germany	F
		2004-2007	Javier Ruperez	Spain	M
		2002-2007	Tulaimeni Kalomoh	Namibia	M
		2000-2005	Danilo Turk	Slovenia	M
		1997-2001	Ibrahima Fall	Senegal	F
		1995-1999	Alvaro de Soto	Peru	M
		1995-1995	G.B. Schlittler-Silva	Brazil	M
		1994-1996	Lansana Kouyate	Guinea	M
		1994-1994	Rosario Green	Mexico	F
		1992-1993	Benon Vahe Sevan	Cyprus	M
		1992-1992	Giandomenico Picco	Italy	M
		1991-1992	Alvaro de Soto	Peru	M
		1987-1991	Sotirios Mousouris	Greece	M
		1987-1990	James O.C. Jonah	Sierra Leone	M
		1985-1986	Iqbal A. Akhund	Pakistan	M
		1985-1986	Najmuddine S. Rifai	Syria	M
		1984-1985	Robert Muller	France	M
		1984-1984	George L. Sherry	USA	M
		1983-1986	Fou-Tchin Liu	China	M
		1983-1984	Enuga Reddy	India	M
		1980-1981	M'Hamed Essaafi	Tunisia	M

Department	Rank	Year	Name	Country	Gender
		1980-1980	Fou-Tchin Liu	China	M
		1979-1979	Ilter Turkmen	Turkey	M
		1978-1981	Gordon K. Goundrey	Canada	M
		1973-1978	Abdulrahim Abby Farah	Somalia	M
		1972-1973	Brian E. Urquhart	UK	M
		1946-1948	Arkady Sobolev	USSR	M
Department of Safety and Security	USG:	2009- current	Gregory B. Starr	USA	M
		2005-2008	David Veness	UK	M
Department of Economic and Social Affairs and predecessors	USG:	2007- current	Sha Zukang	China	M
		2003-2007	Jose Antonio Ocampo	Colombia	M
		1996-1996	Jin Yongjian	China	M
		1993-1996	Jean-Claude Milleron	France	M
		1992-2002	Nitin Desai	India	M
		1991-1995	Ji Chaozhu	China	M
		1989-1991	Antoine Blanca	France	M
		1987-1991	Rafeeuddin Ahmed	Pakistan	M
		1985-1990	Xie Qimei	China	M
		1982-1986	Shuaib Uthman Yolah	Nigeria	M
		1979-1984	Bi Jilong	China	M
		1978-1988	Jean Louis Ripert	France	M
		1978-1981	K.K.S. Dadzie	Ghana	M
		1975-1977	Gabriel Van Laetham	France	M
		1973-1978	Issoufou Saidou Djermakoye	Niger	M
		1954-1974	Philippe de Seynes	France	M
	ASG:	2008-current	Thomas Stelzer	Austria	M
		2005-current	Jomo Kwame Sundaram	Malaysia	M
		2004-current	Rachel Mayanja	Uganda	F
		1998-2007	Patrizio M. Civili	Italy	M
		1997-2003	Angela E.V. King	Jamaica	F
		1987-1987	Meredith Alister McIntyre	Grenada	M
		1986-1986	Tamar Oppenheimer	Canada	F
		1985-1992	Goran P. Ohlin	Sweden	M
		1985-1987	Luis Maria Gomez	Argentina	M
		1984-1986	Sotirios Mousouris	Greece	M
		1984-1986	Vladimir S. Pozharski	USSR	M
		1981-1991	Enrique ter Horst	Venezuela	M
		1981-1985	Leticia R. Shahani	Philippines	F
		1981-1983	Robert Muller	France	M
		1978-1986	Margaret Joan Anstee	UK	F
		1978-1984	Peter Hansen	Denmark	M
		1978-1984	P.N. Dhar	India	M
		1978-1980	Diego Cordovez	Ecuador	M
		1972-1980	Helvi Sipila	Finland	F

Department	Rank	Year	Name	Country	Gender
		1972-1972	Abdulrahim Abby Farah	Somalia	M
		1962-1971	Victor Hoo	China	M
		1951-1954	Guillaume Georges-Picot	France	M
		1946-1951	David K. Owen	UK	M
		1946-1950	Henri Laugier	France	M
Department of General Assembly Affairs and Conference Services and predecessors	USG:	2007- current	Shaaban Muhammad Shaaban	Egypt	M
		2001-2006	Chen Jian	China	M
		1997-2000	Yongjian Jin	China	M
		1982-1991	Eugeniusz Wyzner	Poland	M
		1972-1981	Bohdan Lewandowski	Poland	M
		1962-1971	Giri Nosek	Czechoslovakia	M
		1954-1961	Victor Hoo	China	M
	ASG:	2009-current	Franz Baumann	Germany	M
		2006-2009	Yohannes Mengesha	Ethiopia	M
		2004-2005	Angela Kane	Germany	F
		2001- 2003	Miles Stoby	Guyana	M
		1997-2000	Federico Riesco-Quintana	Chile	M
		1953-1954	Shamaldharee Lall	India	M
		1946-1949	Adriannus Adrian Pelt	Netherlands	M
Department of Management	USG:	2008- current	Angela Kane	Germany	F
		2007-2008	Alicia Barcena Ibarra	Mexico	F
		2005-2006	Christopher Bancroft Burnham	USA	M
		2003-2005	Catherine Bertini	USA	F
		1994-2002	Joseph E. Connor	USA	M
		1993-1993	Melissa Wells	USA	F
		1992-1992	Dick Thornburgh	USA	M
		1991-1991	J. Richard Foran	Canada	M
		1990-1990	Martii Ahtisaari	Finland	M
		1989-1989	Luis Maria Gomez	Argentina	M
		1987-1988	Martii Ahtisaari	Finland	M
		1982-1986	Patricio Ruedas	Spain	M
		1979-1981	Helmut F. Debatin	FR Germany	M
		1972-1978	George F. Davidson	Canada	M
		1971-1971	Horatio Keith Matthews	UK	M
		1968-1970	Andrew A. Stark	UK	M
		1954-1967	Department of Administrative and Financial Services was discontinued		
		1946-1953	Byron Price	USA	M
DM/Capital Master Plan	ASG:	2007-current	Michael Adlerstein	USA	M
		2005-2006	Louis Frederick Reuter IV	USA	M
		2004-2004	Vacant		
		2003-2004	Toshiyuki Niwa	Japan	M

Department	Rank	Year	Name	Country	Gender
DM/Office of Central Support Services	ASG:	2008-current	Warren Sach	UK	M
		2003-2007	Andrew Toh	Singapore	M
		1998-2003	Toshiyuki Niwa	Japan	M
		1994-1997	Benon Vahe Sevan	Cyprus	M
		1993-1993	Carole R. Thompson	USA	F
		1992-1993	Francoise Cestac	France	F
		1987-1992	J. Richard Foran	Canada	M
		1984-1986	Alice Weil	USA	F
		1977-1983	Clayton C. Timbrell	USA	M
		1972-1976	Robert J. Ryan	USA	M
		1953-1971	David B. Vaughn	USA	M
		1947-1953	Byron F. Wood	Canada	M
		1946-1947	John B. Hutson	USA	M
DM/Office of Human Resources Management	ASG:	2008-current	Catherine Pollard	Guyana	F
		2005-2008	Jan Beagle	New Zealand	F
		2003-2005	Rosemary McCreery	Ireland	F
		1997-2003	Rafiah Salim	Malaysia	F
		1994-1996	Dennis J. Halliday	Ireland	M
		1993-1993	Christine Dodson	USA	F
		1992-1992	Armando Duque Gonzalez	Colombia	M
		1990-1991	Abdou Ciss	Senegal	M
		1987-1989	Kofi A. Annan	Ghana	M
		1985-1987	Mercedes Pulido de Briceno	Venezuela	F
		1983-1986	Louis-Pascal Negre	Mali	M
		1982-1982	Leila H. Doss	Egypt	F
		1979-1986	James O.C. Jonah	Sierra Leone	M
		1969-1978	Mohamed Habib Gherab	Tunisia	M
		1962-1967	Alexander MacFarquhar	UK	M
		1959-1961	W. A. B. Hamilton	UK	M
		1958-1958	John McDiarmid	USA	M
		1954-1957	J. A. C. Robertson	UK	M
DM/Office of Programme Planning, Budget and Accounts	ASG:	2008-current	Jun Yamazaki	Japan	M
		2005-2008	Warren Sach	UK	M
		1996-2005	Jean-Pierre Halbwachs	Mauritius	M
		1992-1995	Yukio Takasu	Japan	M
		1992-1992	J. Richard Foran	Canada	M
		1990-1991	Kofi A. Annan	Ghana	M
		1987-1989	Luis Maria Gomez	Argentina	M
		1982-1986	J. Richard Foran	Canada	M
		1979-1981	Patricio Ruedas	Spain	M
		1974-1978	Helmut F. Debatin	FR Germany	M
		1972-1973	Wilbur H. Ziehl	USA	M

Department	Rank	Year	Name	Country	Gender
		1955-1971	Bruce R. Turner	New Zealand	M
		1954-1954	H. C. Andersen	Iceland	M
Department of Public Information	USG:	2007-current	Kiyotaka Akasaka	Japan	M
		2001-2007	Shashi Tharoor	India	M
		1998-2001	Kensaku Hogen	Japan	M
		1992-1992	Eugeniusz Wyzner	Poland	M
		1987-1991	Therese Paquet-Sevigny	Canada	F
		1979-1986	Yasushi Akashi	Japan	M
		1960-1964	Hernane Tavares de Sa	Brazil	M
		1954-1958	Ahmed S. Bokhari	Pakistan	M
	ASG:	1994-1997	Samir Sanbar	Lebanon	M
		1993-1993	Marco Vianello-Chiodo	Italy	M
		1972-1978	Genichi Akatani	Japan	M
		1968-1971	Agha Abdul Hamid	Pakistan	M
		1946-1954	Benjamin A. Cohen	Chile	M
Economic and Social Commission for Asia and the Pacific	USG:	2007-current	Noeleen Heyzer	Singapore	F
		2000-2007	Kim Hak-Su	ROK	M
		1995-2000	Adrianus Mooy	Indonesia	M
		1994-1994	Seiko Takahashi	Japan	F
		1992-1994	Rafeeuddin Ahmed	Pakistan	M
		1981-1992	S.A.M.S. Kibria	Bangladesh	M
		1973-1981	J.B.P. Maramis	Indonesia	M
		1959-1973	U Nyun	Myanmar	M
		1956-1959	Chakravarthi V. Narasmihan	India	M
		1947-1956	P.S. Lokanathan	India	M
Economic and Social Commission for Western Asia	USG:	2010-current	Rima Khalaf	Jordan	F
		2007-2010	Bader Al-Dafa	Qatar	M
		2000-2007	Mervat Tallawy	Egypt	F
		1995-2000	Hazem El-Beblawi	Egypt	M
		1993-1995	Sabbaheddin Bakjaji	Syria	M
		1989-1993	Tayseer Abdel Jaber	Jordan	M
		1985-1988	Mohammad Said Al-Nabulsi	Jordan	M
		1974-1985	Mohammad Said Al-Attar	Yemen	M
Economic Commission for Africa	USG:	2005-current	Abdoulie Janneh	Gambia	M
		1995-2005	Kingsley Amoako	Ghana	M
		1992-1995	Layashi Yaker	Algeria	M
		1991-1992	Issa Diallo	Guniea	M
		1975-1991	Adebayo Adedeji	Nigeria	M
		1961-1975	Robert K.A. Gardiner	Ghana	M
		1959-1961	Mekki Abbas	Sudan	M

Department	Rank	Year	Name	Country	Gender
Economic Commission for Europe	USG:	2009-current	Jan Kubis	Slovakia	M
		2005-2008	Marek Belka	Poland	M
		2002-2005	Brigita Schmognerova	Slovakia	F
		2000-2001	Danuta Hubner	Poland	F
		1993-2000	Yves Berthelot	France	M
		1987-1993	Gerald Hinteregger	Austria	M
		1983-1986	Klaus Sahlgren	Finland	M
		1968-1982	Janez Stanovnik	Yugoslavia	M
		1960-1967	Vladimir Velebit	Yugoslavia	M
		1957-1960	Sakari Tuomioja	Finland	M
		1947-1957	Gunnar Myrdal	Sweden	M
Economic Commission for Latin America and the Caribbean	USG:	2008-current	Alicia Barcena Ibarra	Mexico	F
		2003-2008	Jose Luis Machinea	Argentina	M
		1998-2003	Jose Antonio Ocampo	Colombia	M
		1988-1997	Gert Rosenthal	Guatemala	M
		1985-1987	Norberto Gonzalez	Argentina	M
		1972-1985	Enrique V. Iglesias	Uruguay	M
		1967-1972	Carlos Quintana	Mexico	M
		1963-1966	Jose Antonio Mayobre	Venezuela	M
		1950-1963	Raul Prebisch	Argentina	M
		1948-1950	Gustavo Martinez Cabanas	Mexico	M
Office for Disarmament Affairs	USG:	2007-current	Sergio de Queiroz Duarte	Brazil	M
		2006-2007	Nobuaki Tanaka	Japan	M
		2003-2006	Nobuyasu Abe	Japan	M
		1998-2003	Jayantha Dhanapala	Sri Lanka	M
		1992-1997	Prvoslav Davinic	Yugoslavia	M
		1987-1991	Yasushi Akashi	Japan	M
		1982-1987	Jan Martenson	Sweden	M
	ASG:	1979-1982	Jan Martenson	Sweden	M
		1977-1979	Rolf G. Bjornerstedt	Sweden	M
Office for the Coordination of Humanitarian Affairs and predecessors	USG:	2010-Current	Valerie Amos	UK	F
		2007-2010	John Holmes	UK	M
		2003-2007	Jan Egland	Norway	M
		2001-2003	Kenzo Oshima	Japan	M
		1998-2000	Sergio Vieira de Mello	Brazil	M
		1996-1998	Yasushi Akashi	Japan	M
		1994-1996	Peter Hansen	Denmark	M
		1992-1994	Jan K. Eliasson	Sweden	M
		1982-1992	M'Hamed Essaafi	Tunisia	M
		1972-1981	Faruk N. Berkol	Turkey	M

Department	Rank	Year	Name	Country	Gender
	ASG:	2008-current	Catherine Bragg	Canada	F
		2004-2008	Margareta Wahlstrom	Sweden	F
		2000-2003	Carolyn McAskie	Canada	F
		1996-1996	Gualtiero Fulcheri	Italy	M
Office of Information and Communication Technology	ASG:	2007-current	Choi Soon-Hong	ROK	M
Office of Internal Oversight Services and predecessors	USG:	2010-current	Carman Lapointe	Canada	F
		2005-2010	Inga-Britt Ahlenius	Sweden	F
		2000-2005	Dileep Nair	Singapore	M
		1999-1999	Vacant		
		1994-1999	Karl Theodor Paschke	Germany	M
	ASG:	1993-1994	Mohamed Aly Niazi	Egypt	M
Office of Legal Affairs	USG:	2008- current	Patricia O'Brien	Ireland	F
		2004-2008	Nicolas Michel	Switzerland	M
		1994-2004	Hans Axel Valdemar Corell	Sweden	M
		1983-1994	Carl-August Fleischhauer	Germany	M
		1974-1982	Eric Suy	Belgium	M
		1953-1973	Constantin A. Stavropoulos	Greece	M
	ASG:	2010-current	Stephen Mathias	USA	M
		2008-2010	Peter Taksoe-Jensen	Denmark	M
		2006-2008	Larry Johnson	USA	M
		2002-2002	Robin Vincent	UK	M
		1998-2006	Ralph Zacklin	UK	M
		1946-1952	Ivan S. Kerno	Czechoslovakia	M
		1946-1952	Abraham F. Feller	USA	M
Office of the High Commissioner for Human Rights	USG:	2008-current	Navanethem Pillay	South Africa	F
		2004-2008	Louise Arbour	Canada	F
		2003-2004	Bertrand Ramcharan	Guyana	M
		2002-2003	Sergio Vieira de Mello	Brazil	M
		1997-2002	Mary Robinson	Ireland	F
		1994-1996	Jose Ayala Lasso	Ecuador	M
	ASG:	2010-current	Ivan Simonovic	Croatia	M
		2010-current	Thomas Alexander Aleinikoff	USA	M
		2007-current	Kang Kyung-wha	ROK	F
		2004-2006	Mehr Khan Williams	Pakistan	F
		1998-2002	Bertrand Ramcharan	Guyana	M
		1993-1996	Ibrahima Fall	Senegal	F

Department	Rank	Year	Name	Country	Gender
Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States	USG	2007-current	Cheick Sidi Diarra	Mali	M
		2002-2006	Anwarul Karim Chowdhury	Bangladesh	M
Office of the Iraq Programme (Oil for Food: 1997-2004)	USG	2001-2001	Yuli Vorontsov	Russian Federation	M
		1997-2004	Benon Vahe Sevan	Cyprus	M
	ASG	2004-2004	Ramiro Lopes da Silva	Portugal	M
		2000-2001	Tun Myat	Myanmar	M
		1998-1999	Hans von Sponeck	Germany	M
Peacebuilding Support Office	ASG	2009-current	Judy Cheng-Hopkins	Malaysia	F
		2008-2009	Jane Hall Lute	USA	F
		2006-2008	Carolyn McAskie	Canada	F
United Nations Conference on Trade and Development	USG	2005-current	Supachai Panitchpakdi	Thailand	M
		1995-2003	Rubens Ricupero	Brazil	M
		1986-1994	Kenneth K.S. Dadzie	Ghana	M
		1974-1984	Gamani Corea	Sri Lanka	M
		1969-1973	Manuel Perez-Guerrero	Venezuela	M
		1963-1968	Raul Prebisch	Argentina	M
	ASG	2009-current	Petko Draganov	Bulgaria	M
		2006-current	Patricia Francis	Jamaica	F
		1998-2005	Carlos Fortin Cabezas	Chile	M
		1993-1994	Carlos Fortin Cabezas	Chile	M
		1985-1992	Yves Berthelot	France	M
		1982-1986	Meredith Alister McIntyre	Grenada	M
		1980-1985	Johannes Pronk	Netherlands	M
		1977-1979	Bernard T. Chidzero	Zimbabwe Rhodesia	M
		1976-1978	Stein Rossen	Norway	M
United Nations Entity for Gender Equality and the Empowerment of Women	USG	2010-current	Michelle Bachelet	Chile	F
United Nations High Commissioner for Refugees	USG	2005-current	Antonio Manuel de Oliveira Guterres	Portugal	M
		2001-2005	Rudolphus Lubbers	Netherlands	M
		1991-2000	Sadako Ogata	Japan	F
		1990-1990	Thorvald Stoltenberg	Norway	M
		1986-1989	Jean-Pierre Hocke	Switzerland	M
		1978-1985	Poul Hartling	Denmark	M
		1965-1977	Sadruddin Aga Khan	Iran	M
		1960-1965	Felix Schnyder	Switzerland	M
		1956-1960	Auguste R. Lindt	Switzerland	M
		1951-1956	Gerrit Jan van Heuven Goedhart	Netherlands	M
	ASG	2010-current	T. Alexander Aleinikoff	USA	M

Department	Rank	Year	Name	Country	Gender
		2007-2009	L. Craig Johnstone	USA	M
		2004-2007	Wendy Chamberlin	USA	F
		2001-2003	Mary Ann Wyrsch	USA	F
		1999-2001	Frederick Barton	USA	M
		1993-1999	Gerald Walzer	USA	M
		1990-1992	Martin Douglas Stafford	USA	M
		1986-1989	Arthur Eugene Dewey	USA	M
		1981-1985	William Richard Smyser	USA	M
		1980-1980	Dale S. De Haan	USA	M
		1963-1965	Sadruddin Aga Khan	Iran	M
United Nations Office at Geneva	USG:	2002-current	Sergei Ordzhonikidze	Russian Federation	M
		1993-2002	Vladimir Petrovsky	Russian Federation	M
		1992-1994	Sotirios Mousouris	Greece	M
		1992-1993	Antoine Blanca	France	M
		1987-1991	Jan Martenson	Sweden	M
		1985-1991	Miljan Komatina	Yugoslavia	M
		1983-1986	Eric Suy	Belgium	M
		1980-1981	Mowaffak Allaf	Syrian	M
		1979-1984	Rikhi Jaipal	India	M
		1977-1982	Luigi Cottafavi	Italy	M
		1968-1977	Vittorio Winspeare-Guicciardi	Italy	M
		1958-1967	Pier P. Spinelli	Italy	M
		1954-1957	Adriannus Adrian Pelt	Netherlands	M
		1953-1953	Arthur Rucker	UK	M
		1952-1952	J. Franklin Ray	USA	M
		1946-1952	Wlodzimierz Moderow	Poland	M
United Nations Office at Nairobi/ UN Habitat	USG:	2010-current	Joan Clos	Spain	M
		2009-current	Achim Steiner	Germany	M
		2002-2009	Anna Tibaijuka	Tanzania	F
		1998-2007	Klaus Toepfer	Germany	M
		1993-1997	Elizabeth Dowdeswell	Canada	F
		1978-1992	Arcot Ramachandran	India	M
		1975-1992	Mostafa Kamal Tolba	Egypt	M
		1973-1974	Maurice Strong	Canada	M
	ASG:	2008-current	Angela Cropper	Trinidad and Tobago	F
		2006-current	Inga Bjork-Klevby	Sweden	F
		2002-2005	Hamdallah Zedan	Egypt	M
		2000-2001	Anna Tibaijuka	Tanzania	F
		1998-2006	Shafqat S. Kakakhel	Pakistan	M
		1998-1998	Reuben James Olembo	Kenya	M
		1997-1997	Darshan Johal	Canada	M
		1994-1996	Wally N'Dow	Gambia	M
		1991-1992	Anthony T. Brough	UK	M
		1989-1991	Sveneld Evteev	USSR	M

Department	Rank	Year	Name	Country	Gender
		1986-1991	William H. Mansfield III	USA	M
		1984-1992	Sumihiro Kuyama	Japan	M
		1983-1985	Joseph Wheeler	USA	M
		1982-1988	Genady N. Golubev	USSR	M
		1981-1986	Rudolph Schmidt	Germany	M
		1977-1982	Peter Shaw Thacher	USA	M
		1977-1980	Horst Peter Oltmanns	Germany	M
		1977-1980	Sveneld Evteev	USSR	M
		1977-1977	Cesar Quintana	USA	M
		1976-1976	David A. Munro	Canada	M
		1975-1976	Richard B. Stedman	USA	M
		1973-1974	Mostafa Kamal Tolba	Egypt	M
		1973-1974	Robert A. Frosch	USA	M
United Nations Office at Vienna	USG:	2010-current	Yuri Fedotov	Russian Federation	M
		2002-2010	Antonio Maria Costa	Italy	M
		1997-2002	Giuseppe Pino Arlacchi	Italy	M
		1991-1996	Giorgio Giacomelli	Italy	M
		1987-1991	Margaret Joan Anstee	UK	F
		1984-1986	Mowaffak Allaf	Syrian	M
		1980-1982	Charles Bourbonniere	Canada	M
	ASG:	1982-1992	Giuseppe di Gennaro	Italy	M
		1982-1983	Mowaffak Allaf	Syria	M
		1978-1981	Bror A. Rexed	Sweden	M
		1976-1977	Jacobus De Beus	Netherlands	M
United Nations Ombudsman	ASG:	2008-current	Johnston Barkat	USA	M
		2004-2008	Patricia M. Durrant	Jamaica	F
United Nations Relief and Works Agency for Palestine Refugees in the Near East	USG:	2010-current	Filippo Grandi	Italy	M
		2005-2010	Karen AbuZayd	USA	F
		1996-2005	Peter Hansen	Denmark	M
		1991-1996	Ilter Turkmen	Turkey	M
		1985-1991	Giorgio Giacomelli	Italy	M
		1979-1985	Olof Rydbeck	Sweden	M
		1977-1979	Thomas W. McElhiney	USA	M
		1971-1977	John Shaw Rennie	UK	M
		1964-1971	Laurence Michelmore	USA	M
		1959-1963	John H. Davis	USA	M
		1958-1958	Leslie J. Carver	UK	M
		1954-1958	Henry R. Labouisse	USA	M
		1951-1953	John B. Blandford	USA	M
		1950-1951	Howard Kennedy	Canada	M
	ASG:	2010-current	Margot Ellis	USA	F
		2005-2009	Filippo Grandi	Italy	M
		2001-2004	Karen AbuZayd	USA	F

Department	Rank	Year	Name	Country	Gender
		1997-2000	Mohamed Abdelmoumene	Algeria	M
		1995-1996	Luce Daniele Biolato	Italy	M
		1994-1994	Mohamed Abdelmoumene	Algeria	M
		1988-1993	William L. Eagleton	USA	M
		1985-1987	Robert S. Dillon	USA	M

Annex III
Overview of comments from the United Nations Secretariat on the JIU draft report

1. As this is a report on possible measures to further enhance transparency in the selection and appointment process of senior managers, the Inspectors were surprised that the United Nations Secretariat comments were designated as "confidential", a classification the Inspectors understand to mean that they are not to be made public. The Inspectors believe this does not comport with the notion of transparency, be it transparency in the preparation of this particular report or transparency in the appointment and selection process of senior managers. Moreover, the Inspectors could find nothing in the "confidential" comments that would warrant such a classification nor could they find a compelling or convincing rationale for this designation as it pertains to this report in the Secretary-General's bulletin on "Information sensitivity, classification and handling" (ST/SGB/2007/6). Nevertheless, due to the "confidential" marking of the comments, and in accordance with article 6(3) of the JIU Statute, the Inspectors did not feel they were in a position to share the Secretariat's comments without their consent; Member States, if they so wish, are free to request the United Nations to "declassify" them. Accordingly, neither those comments nor the Inspectors' analysis on them have been included in this annex.

2. The Inspectors did make a number of clarifications and changes in the text at the suggestion of the Secretariat, for which they are grateful. But most suggested changes to the guidelines and website have not been accommodated as they simply eviscerate the entire report. Major transparency initiatives and website content are asked to be removed, or are deemed impracticable, either because the Secretariat feels they breach confidentiality of the process or impinge on the Secretary-General's discretionary authority. The Inspectors believe to do so would take the Secretariat back to square one and maintain the status quo. Throughout the Secretariat's comments, concerns are expressed about the need for confidentiality of the process, writ large, which is in contrast with the objectives of this report. The Inspectors believe the challenge is to strike a balance between providing enough information to Member States so they are confident that the process is open, fair and transparent without compromising the privacy of the candidates or jeopardizing the confidentiality of the deliberative processes of either the interview panels or the Secretary-General himself. The Inspectors believe this balance has been struck with their suggested guidelines and website.

3. A careful reading of the recommended guidelines and website content makes clear that there should be no compromise to the integrity or effectiveness of the Secretary-General's deliberations. The Inspectors were careful to ensure the privacy of the candidates while making the overall process more transparent to Member States and to the candidates themselves. The Inspectors do not believe and do not agree that the contents of either of the two recommendations in any way breach the Secretary-General's discretionary authority, nor are there any confidentiality issues involved. As explained in the report in paragraphs 46 to 48, the Secretary-General has the discretionary authority to select and appoint whomever he wishes. But, the Secretary-General should not have carte blanche to avoid the process he himself has created. That process, set out in the Secretary-General's accountability report (A/64/640), is in place, but opaque. The Inspectors accept that any process, be it for

Headquarters-based, field-based, or other senior positions, is and will be fraught with political volatility, but that cannot be used as an excuse to bypass transparency in the selection and appointment process of these individuals. The Inspectors believe the suggested guidelines and website information should obviate any concerns in this regard and invite Member States to accept, reject or modify the recommendations in this report as appropriate.

Annex IV

Overview of action to be taken by participating organizations on JIU recommendations
JIU/REP/2011/2

		Intended impact	United Nations, its funds and programmes												Specialized agencies and IAEA												
			United Nations*	UNCTAD	UNODC	UNEP	UN-HABITAT	UNHCR	UNRWA	UNDP	UNFPA	UNICEF	WFP	UNOPS	ILO	FAO	UNESCO	ICAO	WHO	UPU	ITU	WMO	IMO	WIPO	UNIDO	UNWTO	IAEA
Report	For action		☒	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
	For information		☐	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒
Recommendation 1		a	L																								
Recommendation 2		a	L																								

Legend: L: Recommendation for decision by legislative organ
☐: Recommendation does not require action by this organization

Intended impact: **a:** enhanced accountability **b:** dissemination of best practices **c:** enhanced coordination and cooperation **d:** enhanced controls and compliance **e:** enhanced effectiveness **f:** significant financial savings **g:** enhanced efficiency **o:** other

* Covers all entities listed in ST/SGB/2002/11 other than UNCTAD, UNODC, UNEP, UN-HABITAT, UNHCR, UNRWA.

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Proposed programme budget for the biennium 2012-2013

Administrative and budgetary aspects of the financing of the United Nations peacekeeping operations

Third progress report on the enterprise resource planning project

Report of the Secretary-General

Summary

The present report is submitted pursuant to General Assembly resolution 64/243, in which the Assembly requested the Secretary-General to provide annual updates on the progress of the enterprise resource planning project, Umoja.

Umoja is a Secretariat-wide organizational transformation that will enable high-quality and cost-effective service delivery anywhere in the world in support of the evolving mandates of the United Nations Secretariat. It will renew the way the Organization manages human, financial and material resources; support management reform by enhancing accountability, transparency, and internal controls for all transactions relating to resources; support decision makers by providing the ability to monitor, manage and report on resources used by programmes and operations; support the implementation of International Public Sector Accounting Standards (IPSAS); enable the redirection of resources to high priority and value-added work; and produce a single system that captures accurate and timely core resource data.

Umoja has achieved significant progress since the General Assembly provided initial funding in 2009. It has re-engineered hundreds of existing administrative processes across the Secretariat. At this time, it is at a critical point as it transitions from the design phase to the build phase. The timeline contained in the second progress report (A/65/389) needs to be adjusted. The implementation of Umoja functionality is now projected for the end of 2015. Delay resulted from several factors, which are described in the present report.

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In order to address delay and accelerate progress, a number of steps were taken. Changes were made to the governance of Umoja to better manage project implementation. The Umoja Steering Committee has adopted a phased approach, which is consistent with the "pilot first" implementation endorsed by the General Assembly in paragraph 113 of its resolution 64/243. It maintains the vision of driving management reform and organizational transformation, but this will occur in phases. The first phase, referred to as Umoja Foundation, will include functionality to support IPSAS requirements. It will pilot in January 2013 and deploy by clusters across the Organization through December 2014. The second phase, referred to as Umoja Extension, to deliver the remaining comprehensive functionality will be deployed by December 2015. However, human resources and budget formulation functions, which are part of Umoja Extension, will be built at the same time as Umoja Foundation, given their importance to the Organization and the urgency for replacing existing processes and systems. The deployment of these two functions will commence in 2014.

The present report gives an account of the issues faced by the project since the last progress report (A/65/389), explains the revised implementation approach and outlines the decisions that are recommended to be taken by the General Assembly.

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I. Introduction

1. Umoja originates in the decision of the General Assembly to replace the Integrated Management Information System with a next generation enterprise resource planning or other comparable system (resolution 60/283, sect. II, para. 4). In its resolution 63/262 (sect. II, para. 2), the Assembly determined that the implementation should aim at consolidating the management of all financial, human and physical resources under a single integrated solution for the entire Organization, including peacekeeping operations and other field missions.

2. As stated in paragraph 2 of the first progress report of the Secretary-General (A/64/380), the raison d'être and primary benefit of Umoja is simple: in this fast-changing world, the United Nations cannot continue to operate and credibly account for itself without a new way of managing its resources. Despite challenges, Umoja remains a once-in-a-generation opportunity to equip the Organization with twenty-first century techniques, tools, training and technology, and to modernize the United Nations service delivery to meet increasing demands under increasing financial pressure.

3. In keeping with the mandates set by the General Assembly, Umoja aims to implement the functionalities of the enterprise resource planning system in ways that will mitigate organizational and managerial risks; ensure adequate preparation and training in a well-planned, step-by-step manner that minimizes the burden of change to the organization and its resources; limit customization of the enterprise resource planning software, in order to ensure cost-effectiveness as well as flexibility in upgrading to new versions of the software; and support the implementation of International Public Sector Accounting Standards (IPSAS).

4. Umoja will address fundamental risks to the Organization[1] by facilitating a results-based environment that enables enhanced planning, accountability and transparency.

5. In its resolution 64/243 (para. 113), the General Assembly authorized the Secretary-General's "pilot first" option for the project. In December 2010, the General Assembly, in its resolution 65/259, sect. II, paragraphs 3 and 4, endorsed the second progress report of the Secretary-General (A/65/389), while requesting that efforts continue to be made to run the project on the basis of lower cost options and urging the Secretary-General to fill vacancies as a matter of priority.

6. Since the last report, Umoja has made considerable progress towards realizing its mandate; however, as is common to projects of this magnitude and complexity, Umoja has also experienced some difficulties. This report provides a project update and outlines the decisions that are recommended to be taken by the General Assembly.

[1] In its report on the activities of the Office of Internal Oversight Services (OIOS) for the period from 1 July 2009 to 30 June 2010 (A/65/271 (Part I)), OIOS stated that "findings are classified in seven risk categories: strategy; governance; compliance; financial; operational; human resources; and information resources... Common to them all is the fact that, unless acted upon, they could have an adverse impact on the mandate, operations or reputation of the department/office in question or of the Organization as a whole."

II. Status

7. Umoja is at a critical point as it transitions from the design phase to the build phase. According to the timeline contained in the second progress report, Umoja planned to be fully deployed by December 2013. Full deployment is now projected for the end of 2015.

8. The delay resulted from several factors. First, procurement of the enterprise resource planning software[2] took significantly longer than expected owing to complex and long negotiations. Second, a wide-scale analysis of current operations was needed in order to transition the Organization from its outmoded systems and working processes to the future operating model. This cultural and institutional change proved more complex and challenging than anticipated. Third, Umoja and its user community realized that the strength and capacity of the enterprise resource planning software would enable far more comprehensive functionality than was originally anticipated. That led to additional time spent in the design phase. Fourth, more time was spent than originally planned in engaging, educating and gaining acceptance from the Organization's business process owners and end-user communities about the new business processes. Fifth, despite the implementation of measures to expedite recruitment, the hiring of United Nations staff members and subject matter experts remains time-consuming, and securing independent consultants with the appropriate expertise continues to pose challenges. Sixth, the limited availability of specialist knowledge of new enterprise resource planning software has constrained the capacity of the design team.

9. Together, these factors have necessitated a recalibration of the timeline. The Steering Committee has approved a phased approach to implementation. The first phase, "Umoja Foundation", includes functionality that supports critical business operations and IPSAS requirements,[3] while the second phase, "Umoja Extension" will complete the Umoja vision. This approach will enable the Organization to mitigate delay, absorb change at a tolerable rate, and address some of the risks associated with deploying a comprehensive solution. The phased approach is detailed in section IV of this report.

10. The Umoja governance structure, which was initially presented in the report of the Secretary-General on enterprise systems for the United Nations Secretariat worldwide (A/62/510/Rev.1), was updated and incorporated into the report of the Advisory Committee on Administrative and Budgetary Questions on information and communications technology (A/63/487 and Corr.1 and 2, annex VI). In 2010, the structure was revised to reflect the evolution of its composition, structure and nomenclature, and presented to the General Assembly in annex III of the second progress report (A/65/389).

11. Following the resignation of the Under-Secretary-General for Management as Chair of the Umoja Steering Committee on 16 June 2011, changes were made to the

[2] The request for proposal for enterprise resource planning software was issued in February 2008. A leading enterprise resource planning software was selected through a competitive process in September 2008, and the formal award to the software vendor was made in December 2008. Negotiations with the software vendor took significantly longer than expected. The contract was signed in June 2010.

[3] In resolution 65/259, sect. II, para. 8, the Assembly requested the Secretary-General to ensure that the implementation of IPSAS be completed no later than 2014.

Umoja governance structure to accelerate progress at this critical juncture of the project and to ensure full accountability and clear lines of responsibility. As shown in the governance structure contained in annex I[4] to this report, the Deputy Secretary-General now serves as Chair ad interim of the Umoja Steering Committee; the Chef de Cabinet is a new member of the Committee, as are the Office of Legal Affairs and the Office of Internal Oversight Services, in an observer capacity. Furthermore, the Assistant Secretary-General, Chief Information Technology Officer, guides the management of Umoja, on behalf of the Steering Committee.

12. During the last reporting period, the Steering Committee took a number of decisions, which are described in this report, including measures to help expedite recruitment and the initiation of lessons learned exercises with other entities in the United Nations system that have implemented similar systems. The Committee has endorsed the proposal on Umoja's revised implementation approach and its new governance structure, timeline and budget, and will continue to closely monitor progress.

13. Since the last progress report, the Management Committee has also increased its monitoring of Umoja progress, especially with regard to the interdependencies of the Umoja and IPSAS implementation strategies. The Management Committee monitors progress by reviewing quarterly updates from Umoja and IPSAS. Increased involvement of high-level management is a key element of the Umoja risk management strategy and a critical success factor.

14. The Business Owners Advisory Group will evolve with the Umoja transition to build and deployment. A core group of business owners will provide advice to Umoja in relation to their area(s) of responsibility. The core membership will be supplemented by temporary members, based on project priorities. For example, individuals who hold key managerial roles within the deployment clusters may be engaged in the advisory group ahead of roll-out to their duty stations. The Process Owners Advisory Group, reflected in annex III of the second progress report (A/65/389), is being phased out as Umoja moves away from process design into an integrated build and deployment phase.

15. In order to monitor, control and document project changes, a Change Advisory Board has been established; it is composed of a subset of business owners and it will be chaired on a rotating basis. The Umoja Director will serve as Secretary to the Board. In reviewing change requests, the Board will consult as necessary with the stakeholder community. To support it, an internal review body within the Umoja Service Delivery Office will review technical changes that do not materially impact scope, timeline and budgets. Any changes that do impact project scope, timeline, budget or deliverables, or other changes that cannot be resolved internally, will be escalated to the Board. Recommendations of the Board will be submitted to the Steering Committee for approval.

[4] Annex I of this report depicts interim arrangements; an update will be presented to the General Assembly in the next annual report, together with any proposals that require the approval of the General Assembly in this regard.

III. Progress

16. Umoja achieved significant progress over the reporting period. It moved into its final design phase in the summer of 2010, and to date, 317 "to-be" business processes have been developed, reflecting the requirements of the Organization. Umoja has also begun preparation for the build phase through the development of an enterprise resource planning software configuration strategy and concepts, tested processes in enterprise resource planning software, and completed the design of the enterprise structure (the core configuration foundation of the system). A baseline configuration, together with a "proof of concept" demonstration, is also being developed to limit the risk of slippage from the build phase back to re-design work (a common design-to-build transition risk).

17. Umoja continued to analyse the enterprise resource planning systems used by other United Nations organizations, in particular that of the World Food Programme (WFP), worked with the IPSAS project, the Department of Management, the Department of Field Support and others in analysing rules, regulations and policies that will need updating to support the new business processes Umoja will deliver. The database of all existing information systems for possible replacement or integration with Umoja has been created and is under analysis.

A. Design finalization

18. Over the past year, Umoja has focused on the finalization of the documentation, prototyping and refinement of the design of the "to-be" processes, within the areas of finance, human resources, central support services, supply chain procurement logistics, and programme and project management. The design serves as the blueprint for the new operating model.

19. Umoja also completed the enterprise structure of the enterprise resource planning system. The enterprise structure reflects the basic building blocks of the Organization and determines how business transactions will be executed and reports generated. The enterprise structure also provides the platform for the integration of all business processes. For example, enterprise resource planning software will support the requirements of the Organization for the production of financial statements using different reporting periods for peacekeeping and regular budgets;[5] this capability will be part of the scope of Umoja Foundation.

20. The work on enterprise structure marks significant progress in the development of the enterprise resource planning system. It has greatly increased the level of enterprise resource planning software knowledge and experience among Umoja staff and subject matter experts. The new skill sets developed will accelerate the pace of progress on software configuration.

[5] In paragraph 44 of the second progress report (A/65/389), the possibility was raised that it may be necessary to build an extension to cope with the United Nations dual budgetary cycles. A solution that does not require a custom-built extension has been developed through extensive prototyping and analysis. See para. 31 of the present report.

B. Change management

21. Design sessions and review sessions were held for subject matter experts and other staff involved in reviewing business processes. Information sessions were held to increase staff awareness about Umoja and its impact. Attendance at these events amounted to approximately 5,580 days of staff participation. Secretariat staff from offices away from headquarters accounted for 52 per cent of participation. Table 1 provides a breakdown of Umoja events since July 2010.

Table 1

Umoja events since the second progress report, July 2010-July 2011 (numbers do not include Umoja team members)

Event type	*Description*	*Sessions held*	*Unique participants*
Design session	Sessions focused on re-engineering United Nations processes into improved future processes	19	131
Review session	Sessions focused on reviewing the proposed solutions with key stakeholders	139	348
Information session	General outreach sessions designed to educate stakeholders about Umoja	60	662
Intergovernmental	General outreach sessions (formal and informal) designed to inform Member States about Umoja	35	74

22. A number of these events included senior-level meetings and working group sessions conducted by other departments, including the Department of Field Support, the Department of Management (Office of Human Resources Management, Office of Central Support Services, and Office of Programme Planning, Budgets and Accounts) and the Office of Information and Communications Technology. For example, Umoja Finance, along with representatives from the IPSAS Project, facilitated sessions at the 2011 Chief Financial Officers workshop on a variety of topics, including fixed assets, inventory management and real estate management. The event increased understanding of IPSAS-Umoja interdependencies.

Review and acceptance

23. Subject matter experts and other designated staff throughout the Secretariat participated in the review and design of the new business processes. Since the last progress report, 229 of the "to-be" processes were released for acceptance by the business owners. Over half (143) have been accepted, and the process continues. This acceptance rate demonstrates significant progress in developing the enterprise resource planning system. It shows the level of participation and receptiveness on the part of the business owners, and the strength and viability of the proposed processes.

24. However, the process of acceptance has been time-consuming, given the need to engage extensively with business owners. Insufficient numbers of Umoja staff in key areas have hampered the timely completion of design deliverables for some processes. Gaps in external expertise have slowed progress of certain design elements that are fundamental to an integrated and coherent solution, particularly in the area of finance. The business owners are understandably reluctant to review

processes in isolation, requiring Umoja to present "end-to-end" packages of cross-functional processes. Dependencies on work not yet completed have further complicated Umoja efforts to secure the acceptance of completed work by the business owners.

Communications

25. In the past year, Umoja strengthened its efforts to increase staff awareness about the project through a range of communications tools. Umoja also encouraged staff to register on Umoja NET, an online portal that contains extensive project information, including details about the re-designed business process. As a result of outreach efforts, over 1,300 staff members became new members of Umoja NET between August 2010 and July 2011. As at July 2011, Umoja NET had over 2,700 members.

Training

26. Umoja has advanced the development of a comprehensive and cost-effective global learning plan to support end-users. The training approach will blend traditional instructor-led classroom learning and e-learning approaches. Training courses will be modular, role-based and reusable and will address the needs of each stakeholder group.

27. In the biennium 2012-2013, the Umoja team will increase training in enterprise resource planning software.[6] This is vital as the project moves into the build phase, when increased levels of functional and technical expertise will be needed. A procurement exercise is under way to contract professional training services for this purpose.

C. Update on existing systems, interfaces, customizations, extensions and general technical activities[7]

Existing systems, interfaces, customizations, extensions

28. The process of analysis and inventory of the systems that could be replaced by Umoja continues in close coordination with the Office of Information and Communications Technology. Umoja provides all system-related information for inclusion in the application portfolio management (ePortfolio) tool of the Office of Information and Communications Technology that catalogues all Secretariat information systems. Approximately 700 systems will be replaced by Umoja, and up to 300 of the remaining systems may require a technical interface to Umoja. Despite the large number of systems, integration will be implemented through a smaller number of common technical interfaces. The decommissioning of legacy systems and the creation of technical interfaces will be aligned with the phased deployment

[6] Since 2010 over 30 technical and enterprise resource planning software training sessions have been undertaken by Umoja staff and subject matter experts.

[7] This section responds to the recommendations of the Advisory Committee on Administrative and Budgetary Questions contained in its report on information and communications technology (A/65/576, paras. 29-36), which were endorsed by the General Assembly in its resolution 65/259.

of Umoja along geographical and functional lines. Umoja maintains an up-to-date inventory of these systems and interfaces.

29. Umoja and Inspira will interface across five dimensions: external recruiting, internal recruiting, performance management learning management and position management. In terms of recruiting, Inspira will serve as the talent management system, facilitating decision-making and tracking processes. After staff are selected through Inspira, this information will be sent to Umoja, where all related financial transactions and organizational assignments (payroll, benefits, entitlements, travel, asset assignments and post incumbency) will be processed. Similarly, for performance management, the development planning and evaluation processes are performed in Inspira, and the evaluation results will be moved into Umoja to support the execution of step increments, contract extensions and other performance-related actions. As the learning management and position management modules of Inspira are yet to be deployed, the details of related Umoja/Inspira interfaces are still being analysed.

30. Umoja will interface with Galileo, the system used for inventory management in peacekeeping missions. Umoja and Galileo staff are collaborating to determine how to best utilize enterprise resource planning software and Galileo. Initial analysis reveals there is a requirement in field missions for the two systems to coexist during the deployment of the Umoja Foundation; in this scenario, inventory will be maintained in Galileo and financial record-keeping will be managed in enterprise resource planning software. Contingency plans are being developed to manage risks associated with incomplete recording of assets that might occur during the initial deployment phase. These include the invocation of transitional provisions for certain asset types, and the adaptation of existing systems to record assets as required for IPSAS reporting.

31. Umoja is also working with the knowledge management team of the Office of Information and Communications Technology to determine how Documentum, the Organization's standard document/records management system, will interface with Umoja to capture relevant documents associated with resource management policies, processes and transactions.

32. Further analysis of requirements has reinforced the position that no essential customizations (i.e., changes to Umoja's core software code that would impact upgrades and maintenance) are required, as expressed in the second annual progress report. Moreover, the two anticipated major extensions[8] referred to in the second progress report will not be required. In paragraph 44 of the second progress report, the Secretary-General reported on two potentially significant extensions that were thought to be required at the time: (a) a parallel ledger, to cope with the United Nations dual budgetary cycles; and (b) a solution to the United Nations requirements in material tracking. At this time, however, the plan is to accommodate these functions using minor extensions that use the software provider's standard framework. This approach adheres to the software provider's best practices and does not impact upgrades.

[8] An enterprise resource planning solution can be supplemented with external programmes referred to as extensions. They provide additional functions to those in the core software, to which they "plug in" without changing it. They do not impact software upgrades and are far less expensive to maintain than customizations, which do change the core software.

General technical activities

33. Key enterprise resource planning technical activities include the following: the implementation of enterprise resource planning infrastructure (including servers, hosting, connectivity, disaster recovery and stress testing); managing and supporting enterprise resource planning environments (sandbox, development, quality assurance and production); implementation of conversions and interfaces; data archiving; and decommissioning of systems.

34. Umoja is addressing infrastructure implementation with the Office of Information and Communications Technology. A management structure is being established for the execution of this process and the support of enterprise resource planning development and production environments. Umoja will be hosted at the enterprise data centres (at the United Nations Logistics Base in Brindisi, Italy, and the United Nations Support Base in Valencia, Spain). Conversions, interfaces, data archiving and decommissioning are being addressed bilaterally with application owners across the Organization, including the Office of Information and Communications Technology, offices away from Headquarters, regional commissions and field missions.

35. Costs related to the activities mentioned in this section regarding existing information technology applications are included in the overall project costs.

IV. The way forward

A. Revised implementation approach

36. In May 2011, the Umoja implementation approach was revised in order to mitigate the delay and accelerate progress, while supporting the mandate to implement IPSAS by 2014.

37. The new approach is consistent with the "pilot first" implementation endorsed by the General Assembly in its resolution 64/243 (para. 113). It maintains the original Umoja vision of driving administrative reform and organizational transformation, but its implementation will be conducted in phases. Rather than release a comprehensive application as originally envisioned, the plan is to deploy phase 1, Umoja Foundation, with a subsequent release of phase 2, Umoja Extension. Umoja Foundation will be fully deployed by December 2014, beginning with a pilot in January 2013. Human resources and budget formulation functionality, which is part of Umoja Extension, will be designed and built at the same time as Umoja Foundation but will commence deployment in 2014. The design phase for the rest of Umoja Extension will recommence in 2013 and move into the build phase in 2014, with deployment planned for completion by the end of 2015.

38. The revised approach will ensure that the Organization is not subjected to an immediate overhaul of all core business functions. It should be noted that Umoja deployments will not occur in the final quarter of either regular budget or support account financial periods, in order to facilitate the production of financial statements.

39. From a change management perspective, there are advantages to adopting a phased approach for deployment. When stakeholders experience the value of Umoja,

they will be more likely to support ongoing refinements and feel part of the process in implementing future phases. A gradual introduction to new ways of working will facilitate organizational acceptance. As people become more comfortable with the new system, they will be less resistant to retire legacy systems. A phased approach enables Umoja to strengthen its training programmes by incorporating lessons learned from the first deployment. Moreover, a phased approach will enable greater managerial control over deployment and reduce risk in the event of system failure, since a smaller population would be affected.

B. Umoja Foundation

40. Umoja Foundation is intended to commence with a pilot in January 2013. Following the pilot, it will be implemented in five successive clusters across the global Secretariat in time to support requirements for IPSAS compliance by 2014.[9] The criteria for selection and timing of deployment sites will be guided by training needs, volume of transactions, business readiness and location.

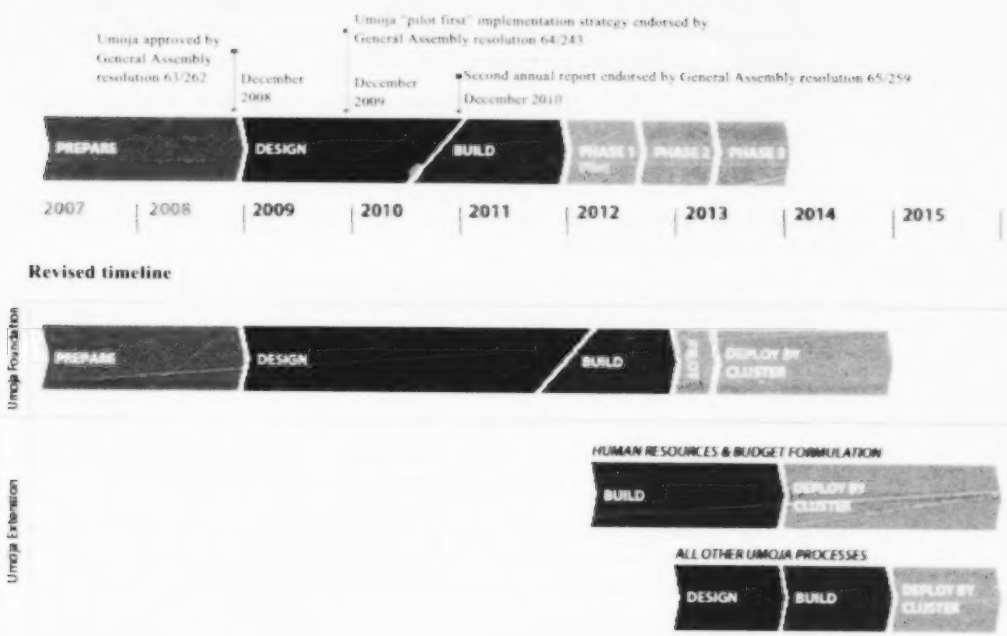
C. Scope and timeline

41. The scope of Umoja Foundation includes processes that are essential to support IPSAS requirements. In total, 119 processes have been selected for inclusion. Although considerably narrower than the scope of 317 processes that will ultimately deliver the full business transformation of Umoja, Umoja Foundation will lay the core building blocks. Its scope includes finance processes; procurement of goods and services; travel; and assets, inventory and property management.

42. The graphic below depicts the current timeline and the phased approach for going forward.

[9] This will be made possible through a combination of enterprise resource planning software, legacy systems and manual workarounds.

Figure
Timeline from second annual report (A/65/389)



43. The review of Umoja Foundation design is now being completed and preparations for the build phase have commenced.

44. The high-level timeline shows the distinction between the preparation, design, build and deployment stages of the project. A more detailed timeline depicting milestones, targets and dependencies is attached in annex II.

45. As Umoja enters the build stage for Umoja Foundation, control over the changes to the scope and the processes must be managed tightly to avoid future delays. To mitigate risks during this period, Umoja will institute change control mechanisms responsible for reviewing and approving changes, additions and deletions to the Umoja Foundation scope.

46. Umoja Foundation will include the following functionality:

(a) **Finance**

Umoja Foundation scope will deliver a sound financial management and administrative control system through the following:

(i) A new general ledger will enable IPSAS compliance, and will support the automation of consolidated financial statements;

(ii) Umoja will facilitate the introduction of tools for sound cost and management accounting practices;

(iii) In the area of treasury, the finance solution will cover aspects of cash management, cash flow forecasting and optimization of currency balances;

(iv) Umoja will be able to generate reports that automate the preparation of IPSAS-compliant consolidated financial statements and provide real-time reporting, flexible data analysis and decision support systems;

(v) It will enable efficient workload management and compliance with internal controls;

(b) **Supply chain procurement logistics**

Umoja Foundation will include the following supply chain procurement logistics functions in its scope:

(i) Procurement of goods and services: requisitioning, solicitation of bids, contract management, supplier evaluation and maintenance of master data relating to vendors, materials, services and equipment;

(ii) Receiving and distribution of inventory, physical verification of inventory;

(iii) Lifecycle and work-order management to support property and equipment operations, including equipment and building maintenance;

Certain existing supply chain systems such as Galileo will be retained for inventory and property, plant and equipment management, with an interface to Umoja Foundation, until full functionality is provided in Umoja Extension;

(c) **Central support services**

The Umoja Foundation central support services scope covers sales and distribution, travel management and real estate management as follows:

(i) Sales and distribution has been scaled down to support financial transactions: (i) work-order management with regard to cost recovery, cost recovery plus, external billing, or charging any agency outside of the Umoja Foundation scope with regard to goods provided or services rendered; (ii) stock transport order between Umoja and other United Nations entities; and (iii) third party procurement;

(ii) Travel management includes processing of travel requests, approval/certification, booking and settlement;

(iii) The real estate management solution supports facilities managers in maintaining an environment that will promote a safe, healthy and productive work environment, and encompass environmentally sustainable systems and practices. The real estate solution enables the Organization to capture information about its property portfolio and the management of leases.

Umoja Extension

47. Key elements of the Umoja solution that will be deployed in phase 2 include human resources, budget formulation, force planning, demand planning and logistics execution; conference and events management; documents production and distribution; grants management; and sales and services to the public. It should be noted that, while Umoja Foundation will deliver IPSAS-compliant capability and

improve financial management, Umoja Extension will deliver the capability to significantly enhance planning and resource management. In particular, human resources and budget formulation functions will be built at the same time as Umoja Foundation, given the critical nature of these functions in the Organization and the urgency for replacing existing processes and systems. The scope of these two functions are as follows:

(a) **Human resources**

The scope of the human resources functions includes:

(i) Organizational management and position management to define and capture how the organization is structured and staffed; it is also used to create, extend, loan, block and abolish posts and positions;

(ii) Personnel administration which constitutes the central repository of all personnel-related data and provides the basis for other functions; this function also includes personnel actions covering on-boarding, core master data management, contract management, movements and separation;

(iii) Entitlements management supports the processing and the calculation of specific entitlements for United Nations staff members as well as human resources travel entitlements;

(iv) Benefits management to administer employee benefits for active staff members and for former staff (after-service insurance);

(v) Time management to manage and monitor timekeeping and leave for staff members and non-staff such as United Nations military observers and United Nations police officers;

(vi) Payroll functionality to process the monthly, off cycle and end-of-service payroll of staff members of all categories in all locations. It covers the calculation of the payroll amounts, the payroll simulations, the disbursements and the payroll accounting;

(vii) The self-service portal will enable staff members and managers to access and update some personal data and to submit requests, forms and claims on line;

(b) **Budget formulation**

Budget formulation functions will enable monitoring and control of the budget preparation process using guidelines, timelines, milestones, and tools for enhanced reporting. The solution covers the full life-cycle from central budget planning through the collection of business requirements and ends with legislative approval.

D. Benefits realization

48. The primary benefit of Umoja remains its role in reinforcing the United Nations continued operability, accountability and credibility, as stated in the first progress report (A/64/380).

49. Umoja is still expected to produce qualitative benefits that include increased operational effectiveness and timeliness, improved accountability, adoption of international best practices and standards, enhanced transparency, higher client

satisfaction, and better internal controls across the broad range of financial, procurement and staffing processes.

50. The overall quantitative benefits that Umoja identified in the first and second progress reports remain. Umoja is re-analysing the benefits case outlined in the second progress report to validate precisely how the revised deployment approach will impact the realization of benefits. Initial results demonstrate that Umoja is projected to deliver anticipated benefits in the range of $139 million to $220 million annually, as a result of the refinement of business processes, significant improvement in the availability and quality of information, reduction in manual effort, and building of staff skills.

E. Lower cost options and collaboration with other United Nations entities

51. The General Assembly has twice underscored its request to the Secretary-General that he make efforts to run Umoja with full consideration of all "lower cost options".[10] This is an ongoing process and every effort continues to be made to contain project costs.

52. The Advisory Committee on Administrative and Budgetary Questions has commented that collaboration with other United Nations system entities on enterprise resource planning could be "a long-term option for lowering ... costs in the future".[11] Over the reporting period, Umoja continued its research of enterprise resource planning solutions at other United Nations system entities, to learn from their experiences and identify best practices. Umoja is initiating a study of approximately 25 United Nations organizations that have implemented enterprise resource planning systems. It will cover the following areas: governance and project management; management of relationships with implementing partners, integration with IPSAS adoption, building and deployment strategies, change management and training, definition of costs of ownership, realization of investments and benefits, audits and other assessments undertaken on their projects; and reporting to stakeholders.

53. The results of the study will inform Umoja on best practices for the build and deploy phases, including options for lowering costs. It is also intended to identify common solutions, procedures and standards across United Nations organizations with a view to lowering costs of enterprise resource planning efforts in the future.

Collaboration with the World Food Programme

54. In the first quarter of 2011, Umoja conducted a "fit-gap analysis" of the WFP's enterprise resource planning solution, which is known as WINGS II. The objective was to see if Umoja could incorporate aspects of WINGS II in order to accelerate progress.

[10] See General Assembly resolution 64/243, para. 113, and General Assembly resolution 65/259, para. 3.

[11] A/65/576, para. 40. The Committee further recommended that all developments in this area continue to be reported on in progress reports, which was endorsed by the General Assembly in its resolution 65/259.

55. The fit-gap analysis was a knowledge-sharing exercise that gave the Umoja team a detailed understanding of the capabilities and the limitations of the WFP system. The scope of the WFP system is much narrower than that of the Secretariat, but Umoja identified aspects of WINGS II that could benefit the project, especially in the areas of finance and human resources.

56. Umoja also found that WFP documentation, training materials and approach to meeting IPSAS requirements would be useful to replicate. The WFP approach to phasing their initial deployment was of particular relevance.

57. Umoja will further examine WINGS II for specific accelerators to the Umoja build process, and is considering how to collaborate with WFP in the future.

F. Further opportunity for benefits: service delivery

58. As reported in the second progress report,[12] a management reform initiative such as Umoja presents an opportunity to consolidate many administrative functions and services. A rationalized and United Nations-appropriate service delivery approach will help reduce duplicative efforts across Secretariat entities and take advantage of economies of scale, thereby expanding the benefits of Umoja. Moreover, an improved service delivery model will shorten Umoja deployment and implementation timelines.

59. In 2010, Umoja conducted a review of service delivery alternatives for the global Secretariat. An assessment of the current operating environment is being undertaken to identify potential benefits and areas of improvement, and develop a detailed business case and implementation plan, the results of which will be reported to the General Assembly in the next progress report. Umoja is working closely with the Department of Field Support to ensure that the operational requirements to support the field are reflected in the Organization-wide service delivery model. The business model for delivering field support services might change over time according to field requirements. The service delivery model must, however, be able to support the model for delivering field support. Extensive consultations across the organization will be undertaken throughout the process of developing a service delivery model suitable for the global Secretariat.

G. Dependencies and contingency plans

60. In order for Umoja to meet its milestones, several critical success factors must be met, such as timely procurement of contractual services for the build phase, completion of ongoing recruitment of staff and subject matter experts with the appropriate skills and expertise, the capacity of the Organization to support the testing, training and other change management initiatives required for successful deployment and complementary progress of the IPSAS project and other related initiatives, such as the Global Field Support Strategy.

61. Umoja and IPSAS are developing contingency plans in the event that dependencies cause delays, which include: (a) using Galileo as an interim staging area for IPSAS-compliant property, plant and equipment functions, and inventory

[12] See A/65/389, sect. II, part C.

data in peacekeeping and special political missions; (b) leveraging an existing Department of Field Support system as a solution for automating notes disclosures, which represent a significant part of the IPSAS-compliant financial statements; (c) continuing to use, temporarily and with some work-arounds, some of the information systems that are currently used for asset management in all departments of the Secretariat and offices other than peacekeeping and special political missions; (d) devising a combination of manual and semi-automated processes to existing systems such as Sun Accounts and the Integrated Management Information System, to record fiscal period end expenditures based on the delivery of goods and services under IPSAS.

H. Human resources: Umoja team

62. As shown in the organizational structure presented in the second progress report (see A/65/389, annex IV), Umoja is made up of 90 staff. Their current and projected recruitment status appears in table 2 below.

Table 2
Umoja status of vacancies

									At 31 August 2011	
Status	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	*GS (PL)*	*GS (OL)*	*Total*	*Percentage*
Filled										
Regular		7	9	19	9	1	1	7	53	59
Temporary			5	6				3	14	16
Subtotal, filled	—	**7**	**14**	**25**	**9**	**1**	**1**	**10**	**67**	**75**
Under evaluation	1		4	4					9	10
Selected										
Advertised								1	1	1
To be advertised		1	3	8				1	13	14
Approved by central review boards										
Authorized	**1**	**8**	**21**	**37**	**9**	**1**	**1**	**12**	**90**	**100**

Abbreviations: GS, General Service; OL, Other level; PL, Principal level.

63. Despite the intervention of the Umoja Steering Committee to introduce streamlined recruiting procedures[13] and close cooperation and collaboration extended by the Office of Human Resources Management and other concerned parts of the Secretariat, timely recruitment has been problematic. As at July 2011, Umoja

[13] Since December 2010, vacancies at the P-4 and lower levels have been delegated to the Umoja Director. Other streamlined procedures include the limitation of all Umoja posts to temporary service in the Department of Management, which permits shortened advertising periods and a relaxing of the requirement for clearance by the central review bodies. With the assistance of all offices concerned, these measures did expedite recruitment. The average number of months to complete a selection process and onboard a staff member was reduced from 12 months to 7.5 months.

had staffed 67 (75 per cent) of its 90 posts, compared to 46 (58 per cent) out of 80 posts as at 31 August 2010. Umoja continues to examine the skills required of each post to ensure that balance is maintained between the recruitment of business analysts with knowledge and experience of the Secretariat and specialists with knowledge of enterprise resource planning software and implementation.

64. Umoja staff are complemented by subject matter experts, whose contributions range in duration from a few hours to several months at a time. As at July 2011, a total of 19 subject matter experts had been recruited against 66 general temporary assistance funded positions.

65. Umoja has also continued to benefit from the temporary assignment of the Management Support Service of the Office of the Under-Secretary-General for Management. As of July 2011, five of the six temporarily assigned posts are encumbered.

V. Resource requirements and cost containment

A. Overall resource requirements

66. The first progress report on Umoja (A/64/380) provided the resource requirements for the bienniums 2010-2011 and 2012-2013, using the approved $20 million for the biennium 2008-2009 as a baseline. It also presented four implementation options: pilot first, IPSAS first, by function, and traditional. In its resolution 64/243, the General Assembly endorsed the recommendation to follow the "pilot first" strategy, rolling a full Umoja solution out to the entire United Nations in three steps: first to a group of pilot locations, then to the rest of the Organization in two more phases. The resource requirements to implement the "pilot first" option were estimated at $315,792,300, without contingency. A point made in the second progress report bears repeating, namely, that it is common industry practice that a contingency of between 10 and 25 per cent be made available in an enterprise resource planning project.[14] The second progress report on Umoja made no changes to the overall level of resource requirements.

67. It is recalled that, in resolution 63/262, the General Assembly approved resources in the amount of $20 million for the biennium 2008-2009 and endorsed the cost-sharing arrangement for financing of the enterprise resource planning project.[15]

68. Subsequently, in its resolution 64/243, the General Assembly approved $24,192,200 to be funded from the regular budget for the biennium 2010-2011. This included an appropriation of $11,775,900 (further recosted to $11,182,900) under section 28A, Office of the Under-Secretary-General for Management. In the same resolution, the Assembly authorized the Secretary-General to enter into commitment in the amount of $12,416,300. In its resolution 65/259, the General Assembly

[14] See A/65/389, para. 97.

[15] Fifteen per cent from the regular budget; 62 per cent from the support account for peacekeeping operations; and 23 per cent from the special accounts for programme support costs, to which are credited overhead income generated by expenditures relating to technical cooperation and general trust funds, as well as reimbursements for administrative support provided by the Organization to extrabudgetary entities

decided not to appropriate the amount of $12,416,300, in the light of the proposal of the Secretary-General contained in paragraph 18 of his first performance report on the programme budget for the biennium 2010-2011 (A/65/589). In that report, it was proposed to continue to monitor the progress of the project and to report the requirements arising from the commitment authority in the context of the second performance report for the biennium 2010-2011. Based on the latest expenditure status, and given the pace of project implementation, the commitment authority will not be utilized during the 2010-2011 biennium. Instead, requirements are proposed to be phased over future bienniums as set out in paragraph 85 of the present report.

69. In its resolutions 64/243 and 64/271, the General Assembly approved total resources in the amount of $85,549,500 for Umoja from the support account for peacekeeping operations. The amount comprised the authority to enter into commitment in a total amount not to exceed $28,516,500 for the period from 1 July 2009 to 30 June 2010, and an appropriation in the amount of $57,033,000 for the period from 1 July 2010 to 30 June 2011.

70. The funding from extrabudgetary sources for the biennium 2010-2011 amounted to $37,090,100.

71. In its resolution 65/259, the General Assembly took "note that resources in the amount of $18,066,600 (net) would be considered in the context of the proposed programme budget for the biennium 2012-2013". Taking into account the revised projections, an amount of $17,806,300 has been included in the proposed programme budget for the biennium 2012-2013, representing the regular budget share for Umoja (see A/66/6 (Sect. 29A)).

72. By the same resolution, the Assembly took "note that the future remaining requirements in the estimated amount of $47,185,200 (net) will be included in the subsequent requirements for the support account for peacekeeping operations for the financial period from 1 July to 30 June 2012". This requirement was subsequently included in the peacekeeping support account budget for the period 1 July 2011 to 30 June 2012 (A/65/761 and Corr.1-2) and approved by the General Assembly in its resolution 65/290.

73. The Assembly also took "note that the future remaining requirements in the estimated amount of $56,006,500 (net) will be included in subsequent requirements for the support account for peacekeeping operations for the financial periods from 1 July 2012 to 30 June 2013 and 1 July 2013 to 30 June 2014".

Status of resources approved for the Umoja project and utilization

Table 3

Amounts approved and expenditures by biennium

(Thousands of United States dollars)

Sources of funds (approved)	*2008-2009*	*2010-2011*	*Total*
Regular budget	5 110.0	24 192.2[a]	29 302.2
Support account for peacekeeping operations	7 050.0	114 065.9	121 115.9
Extrabudgetary	7 840.0	37 090.1	44 930.1
Total	**20 000.0**	**175 348.2**	**195 348.2**
Expenditure	**17 699.7**[b]	**103 635.8**[c]	**121 335.5**

[a] Includes the amount of $12,416,300 commitment authority authorized under resolution 64/243.

[b] Actual expenditure.

[c] Projected expenditure.

74. As shown in table 4, as at the end of July 2011, a total of $97,463,000 had been expended for the project, including $17,699,700 during the biennium 2008-2009 and $79,763,300 during the 19 months of the biennium 2010-2011. The projected expenditures from August to December 2011 are estimated at $23,872,500, which will bring the cumulative Umoja expenditure since its inception to $121,335,500.

Table 4

Amounts released to Umoja project and expenditures by biennium

(Thousands of United States dollars)

	2008-2009		*2010-2011*				*Total*	
	Allotment	*Expenditure*	*Allotment*	*Expenditure as at 31 July 2011*	*Projected expenditure August-December 2011*	*Projected expenditure*	*Allotment*	*Expenditure 2008-2011*
Object of expenditure	*a*	*b*	*c*	*d*	*e*	*f=(d+e)*	*g=(a+c)*	*h=(b+f)*
Posts			12 334.9	11 614.6	5 048.1	16 662.7	12 334.9	16 662.7
Other staff costs	6 501.1	5 614.0	6 110.1	3 412.7	1 657.7	5 070.4	12 611.2	10 684.4
Consultants and experts	599.5	72.6	2 248.8	578.6	472.3	1 050.9	2 848.3	1 123.5
Travel of staff	1 396.4	964.1	2 265.1	864.3	818.0	1 682.3	3 661.5	2 646.4
Contractual services	7 601.1	7 933.3	49 204.6	35 264.3	12 842.8	48 107.1	56 805.7	56 040.4
General operating expenses	2 655.1	2 344.1	8 795.7	6 572.9	40.6	6 613.5	11 450.8	8 957.6
Supplies and materials	650.9	606.9	149.0	268.9	26.2	295.1	799.9	902.0

	2008-2009		2010-2011				Total	
	Allotment	Expenditure	Allotment	Expenditure as at 31 July 2011	Projected expenditure August-December 2011	Projected expenditure	Allotment	Expenditure 2008-2011
Object of expenditure	a	b	c	d	e	f=(d+e)	g=(a+c)	h=(b+f)
Furniture and equipment	595.9	164.7	27 786.0	21 187.0	2 966.8	24 153.8	28 381.9	24 318.5
Total	**20 000.0**	**17 699.7**	**108 894.2**	**79 763.3**	**23 872.5**	**103 635.8**	**128 894.2**	**121 335.5**

75. Cost variances between the proposed distribution by object of expenditure for the biennium 2010-2011 contained in the second progress report and projected expenditure to 31 December 2011 are primarily owing to:

(a) Delay in recruitment of core staff, subject matter experts and contracting individual consultants;

(b) Projected travel expenditure is lower than the proposed distribution because the pilot deployment and instructor-led training did not occur in 2011;

(c) Contractual services are lower than projected since the build phase was forecasted to begin in 2011 with its associated enterprise resource planning software training. Both have yet to commence;

(d) General operating expenses are lower because the projected cost of rent was based on the standard rate in comparison to actual rent expenditure;

(e) Furniture and equipment are higher owing to the increased cost of software and maintenance of licences compared with the amount forecasted. Consequently, the purchase of hardware has been deferred to 2012.

Table 5
Cost of Umoja Foundation (phase 1) and Umoja Extension (phase 2)
(Thousands of United States dollars)

	2008-2011 Expenditures	2012 Proposed requirements	2013 Proposed requirements	2012-2013 Proposed requirements	2014 Proposed requirements	2015 Proposed requirements	2014-2015 Proposed requirements	Total
Business processes	(a)	(b)	(c)	(d) = (b)+(c)	(e)	(f)	(g) = (e)+(f)	(h) = (a)+(d)+(g)
Umoja Foundation (version 1.0)	45 548.7	43 430.8	23 557.3	66 988.1	15 687.2		15 687.2	128 224.0
Umoja Extension (version 2.0)	75 786.8	24 452.6	25 932.8	50 385.4	26 101.4	35 294.7	61 396.1	187 568.3
Total	**121 335.5**	**67 883.4**	**49 490.1**	**117 373.5**	**41 788.6**	**35 294.7**	**77 083.3**	**315 792.3**

76. Table 5 depicts the projected expenditure and annual cost by phase. Umoja identified 317 business processes; 119 are part of Umoja Foundation and 198 comprise Umoja Extension.

B. Resource requirements for the biennium 2012-2013

77. The overall level of projected expenditure for the biennium 2012-2013 is presented in table 6.

Table 6
Total resource requirements for Umoja implementation: proposed redistribution of resources by object of expenditure
(Thousands of United States dollars)

Object of expenditure	*2008-2013 Existing distribution (A/65/389)* a	*2008-2009 Expenditures* b	*2010-2011 Projected expenditures* c	*2012-2013 Proposed requirements* d	*2014-2015 Proposed requirements* e	*Projected total expenditures* f=(b+c+d+e)	*Change* g=f-a
Posts	56 686.3	—	16 662.7	30 864.1	27 046.1	74 572.9	**17 886.6**
Other staff costs	47 773.2	5 614.0	5 070.4	17 792.7	15 624.7	44 101.8	**(3 671.4)**
Consultants and experts	6 662.4	72.6	1 050.9	3 484.8	3 049.2	7 657.5	**995.1**
Travel of staff	24 582.7	964.1	1 682.3	8 651.9	6 470.9	17 769.2	**(6 813.5)**
Contractual services	121 931.0	7 933.3	48 107.1	34 625.8	19 416.4	110 082.6	**(11 848.4)**
General operating expenses	21 408.8	2 344.1	6 613.5	5 164.7	5 018.5	19 140.8	**(2 268.0)**
Supplies and materials	330.5	606.9	137.7	290.4	237.0	1 272.0	**941.5**
Furniture and equipment	36 417.4	164.7	24 311.2	16 499.1	220.5	41 195.5	**4 778.1**
Total	**315 792.3**	**17 699.7**	**103 635.8**	**117 373.5**	**77 083.3**	**315 792.3**	—

78. The difference between the existing distribution of funds as reflected in the second progress report and the table above is a result of the revised timeline. The revised approach requires increases under posts, consultants, supplies and materials, and furniture and equipment. The decrease in other staff costs is a consequence of having filled 19 of the budgeted 66 subject matter expert positions in the biennium 2010-2011. Travel expenses for the "cluster" training approach are lower compared to the previous forecast, which envisioned travel to each duty station. Contractual services also reflect a reduction, since the build vendor was not in place in the biennium 2010-2011. Further, the majority of systems integrator personnel for the build stage are projected to be offshore, thereby decreasing general operating expenses and eliminating the requirement for alteration of premises to accommodate such personnel.

79. The total cost of Umoja for the biennium 2012-2013 is estimated at $117,373,500. The amount of $48,656,800 provides for 90 temporary posts ($30,864,100) and 66 subject matter experts ($17,792,700). Non-post resources amount to $68,716,700, which will cover consultants and experts, travel of staff, contractual services, general operating expenses, supplies and materials, construction, alteration and improvements and furniture and equipment.

80. The explanation for changes in resource requirements for the biennium 2012-2013 as a result of the proposed redistribution of resources is set out below:

(a) Posts: the amount of $30,864,100 would provide for salary and common staff costs for the continuation of 90 posts (1 D-2, 8 D-1, 21 P-5, 37 P-4, 9 P-3, 1 P-2, 1 General Service (Principal level) and 12 General Service (Other level);

(b) Other staff costs: the amount of $17,792,700 would provide for general temporary assistance of 66 subject matter experts, who will contribute to Umoja staff with their professional expertise and skills for completion of the Umoja revised implementation approach. A substantial number of subject matter experts, estimated at 36, will be dedicated to training of end-users as Umoja is deployed. Included in the estimate is a provision of $15,000 for overtime during the peak workload periods of the project. The estimate is based on the average for other offices within the Department of Management;

(c) Consultants and experts: the provision of $3,484,800, comprising fees ($3,196,800) and travel costs ($288,000), is based on an estimate of 288 work months of specialized expertise at an average rate of $11,100 a month and a one time annual travel cost of $12,000 for each of 12 individual consultants. This will provide for consultants where expertise is not available in the Secretariat and whose activities are outside the remit of the systems integrator as follows:

(i) Change management: during the build and deployment phase, external expertise will be required in the areas of content development and technical expertise to support communication and training efforts. Content development will include the creation of learning and communication materials to support deployment. Technical expertise will include the design, development and deployment of online collaborative learning tools;

(ii) Technical consultants: external expertise will be required to augment the contracted build systems integrator in specific technical areas such as mobile technology, report design and implementation, data warehousing and business intelligence;

(iii) Functional consultants: external expertise will be required to augment the contracted build systems integrator in specific functional areas such as travel, central services, field operations, logistics and payroll. Umoja will recruit qualified consultants with the requisite combination of skills and experience in these areas, including experience with other United Nations bodies or public sector entities;

(iv) Management consultants: external expertise will be required to provide independent quality assurance of the activities of the contracted systems integrator;

(d) Travel of staff: it is estimated that the amount of $8,651,900 would be required for travel of Umoja staff to complete the build and deployment of Umoja Foundation in the pilot location and the subsequent clusters. Travel will be undertaken for advance site preparation, including technical support and actual deployment. Requirements include a provision of $4,592,380 to cover travel costs of the Umoja trainers who will deliver a comprehensive training to end-users in the biennium 2012-2013. While efforts continue to be made to use videoconferencing to

the extent possible, it is not optimal for holding end-user training when hands-on, face-to-face interaction is required;

(e) Contractual services:[16] the amount of $34,625,800 would provide for legal and strategic consulting and system integrator services. It would also provide for training of Umoja staff, including subject matter experts on enterprise resource planning software, training of trainers and user training for the deployment of Umoja Foundation. Following is a detailed breakdown:

(i) A provision of $310,000 for legal consulting would be required during the negotiation of contractual terms and conditions in the systems integrator and is based on the information provided by the Office of Legal Affairs, which provides legal support to the Umoja procurement process;

(ii) An amount of $1,979,600 would provide strategic consulting and specialized enterprise resource planning software services to Umoja. Strategic consultants ($1,098,100) would serve as subject matter advisers within the Umoja service delivery office, providing analysis of the system integrator's approach and methodology and advice on the mitigation of project risks. Enterprise resource planning software specialist services ($881,500) would provide support for new software modules;

(iii) An amount of $30,140,600 would provide for system integrator services commencing in early 2012 to build, test and deploy Umoja Foundation. The systems integrator will provide services including project management, functional consulting, infrastructure consulting and the development of enterprise resource planning software workflows, reports, interfaces, conversions, enhancements and forms. The systems integrator will also provide testing methodology and execution, post "go-live" sustainment for three months and planning and execution of knowledge transfer to Umoja staff and the user community. An amount of $2,958,640 is included in the above provision to augment the system integrator with enterprise resource planning software technical resources;

(iv) An amount of $706,800 would provide for enterprise resource planning software training for Umoja staff and the user community;

(v) An amount of $673,800 would provide for the services of the United Nations International Computing Centre in 2012 for the provision of a managed enterprise resource planning software sandbox and development hosting solution in a secure data centre;

(vi) An additional amount of $455,000 would provide an initial six months of production infrastructure support in 2013;

(vii) An amount of $360,000 would provide resources for collaboration with other United Nations system entities in future enterprise resource planning development, including potential ongoing work with WFP;

(f) General operating expenses: resource requirements of $5,164,700 would provide for rental of premises, maintenance and support of the local area network

[16] Funding provided under contractual services for 2012-2013 will include provisions for the build and testing of the human resources and budget formulation solutions.

technical infrastructure and central servers for support of Umoja and rental and maintenance of office automation equipment;

(g) Supplies and materials: the provision of $290,400 would provide for stationery and office supplies, including items such as printer cartridges, data-processing supplies, paper and other miscellaneous supplies. The provision includes an additional requirement of $104,600 for Umoja training materials at the rate of $10 per participant based on the cluster deployment strategy in the biennium 2012-2013;

(h) Acquisition of software licences, furniture and equipment: the resource requirement of $16,499,100 would provide for the following:

(i) Enterprise resource planning software modules and add-ons ($700,000), and maintenance fees ($5,995,100);

(ii) Oracle licences ($512,000) and maintenance fees ($450,500);

(iii) Hewlett-Packard licences ($1,600,000) and maintenance fees ($608,000);

(iv) Testing tools, project collaboration software and ancillary software purchases ($524,000);

(v) Hardware ($6,000,000);

(vi) Provision of $109,500 for the replacement of 64 laptops, which were procured in 2009 and will no longer be covered by the warranty in 2013.

C. 2015-end of project

Table 7
Total actual and projected resource requirements for Umoja implementation
(Thousands of United States dollars)

Object of expenditure	*2008-2009* a	*2010-2011 Existing distribution* b	*2012 Projected expenditure* c	*2013 Projected expenditure* d	*Total 2012-2013 Projected expenditure* e = c + d	*2014 Projected expenditure* f	*2015 Projected expenditure* g	*Total 2014-2015 Projected expenditure* h = f + g	*Project Total* i = a + b + e + h
Posts		16 662.7	15 432.1	15 432.0	30 864.1	15 432.1	11 614.0	27 046.1	74 572.9
Other staff costs	5 614.0	5 070.4	8 896.4	8 896.3	17 792.7	8 896.4	6 728.3	15 624.7	44 101.8
Consultants and experts	72.6	1 050.9	1 742.4	1 742.4	3 484.8	1 742.4	1 306.8	3 049.2	7 657.5
Travel of staff	964.1	1 682.3	3 745.4	4 906.5	8 651.9	2 899.7	3 571.2	6 470.9	17 769.2
Contractual services	7 933.1	48 107.1	22 455.9	12 169.9	34 625.8	10 048.1	9 368.3	19 416.4	110 082.6
General operating expenses	2 344.1	6 613.5	2 655.5	2 509.2	5 164.7	2 509.3	2 509.2	5 018.5	19 140.8
Supplies and materials	606.9	137.7	155.0	135.4	290.4	135.4	101.6	237.0	1 272.0
Furniture and equipment	164.7	24 311.2	12 800.8	3 698.3	16 499.1	125.3	95.2	220.5	41 195.5
Total	**17 699.7**	**103 635.8**	**67 883.5**	**49 490.0**	**117 373.5**	**41 788.7**	**35 294.6**	**77 083.3**	**315 792.3**

Biennium 2014-2015

81. Projected resource requirements for the biennium 2014-2015 are as accurate as possible, based on the elements of the solution deferred to the Umoja Extension build and deployment. These costs will be updated in subsequent progress reports depending on the status of the project at that time, experience gained from the implementation of Umoja Foundation, decisions made based on emerging needs, and additional analysis.

D. Estimated future operating costs

82. In response to the recommendation of the Advisory Committee on Administrative and Budgetary Questions that the Secretary-General should continue to refine estimates for future operating costs as the modalities of the deployment of the enterprise resource planning are determined and other cost factors are clarified,[17] Umoja projects that the estimated costs described in paragraphs 95 and 96 of the second progress report (A/65/389) are still valid. However, in the light of the revised implementation approach, additional analysis to verify and update estimates for future operating costs is now being undertaken.

VI. Summary of resource requirements for the enterprise systems for the United Nations Secretariat worldwide and request for action by the General Assembly

A. Summary of resource requirements

83. The overall level of resources for the implementation of the Umoja project remains unchanged at $315,792,300, to be funded in accordance with the existing cost-sharing formula between the regular budget (15 per cent), the support account for peacekeeping operations (62 per cent) and the extrabudgetary resources (23 per cent).

84. It is also proposed to fund the regular budget portion of the project totalling $17,806,300 under Section 29A, Office of the Under-Secretary-General for Management, as reflected in the proposed programme budget for the biennium 2012-2013 (A/66/6 (Sect. 29A)).

B. Actions to be taken by the General Assembly

85. **The General Assembly is requested:**

(a) **To take note of the progress report in the implementation of the Umoja project presented in the present report;**

(b) **To approve the amount of $17,806,300 (net), as presented under Section 29A of the proposed programme budget for the biennium 2012-2013, Office of the Under-Secretary-General for Management, representing the regular budget share for the Umoja project (A/66/6 (Sect. 29A));**

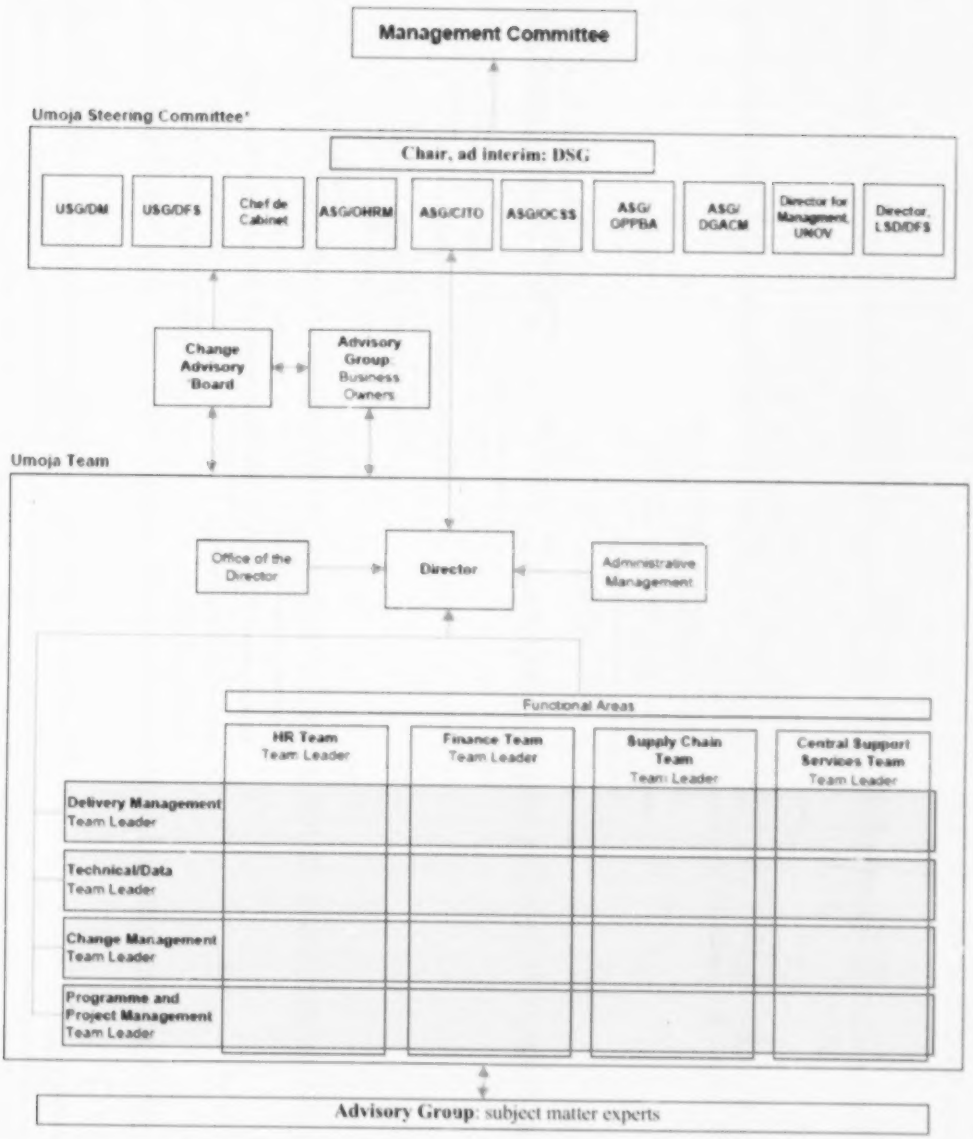
[17] See A/65/576, para. 37.

(c) To note that the requirements for the biennium 2014-2015 in the amount of $13,269,700 (net) will be included in proposed programme budget under Section 29A, Office of the Under-Secretary-General for Management, representing the regular budget share for the Umoja project;

(d) To note that the future remaining requirements in the estimated amount of $56,006,500 (net) will be included in the subsequent requirements for the support account for peacekeeping operations for the financial periods beginning from 1 July 2012.

Annex I

Umoja governance model

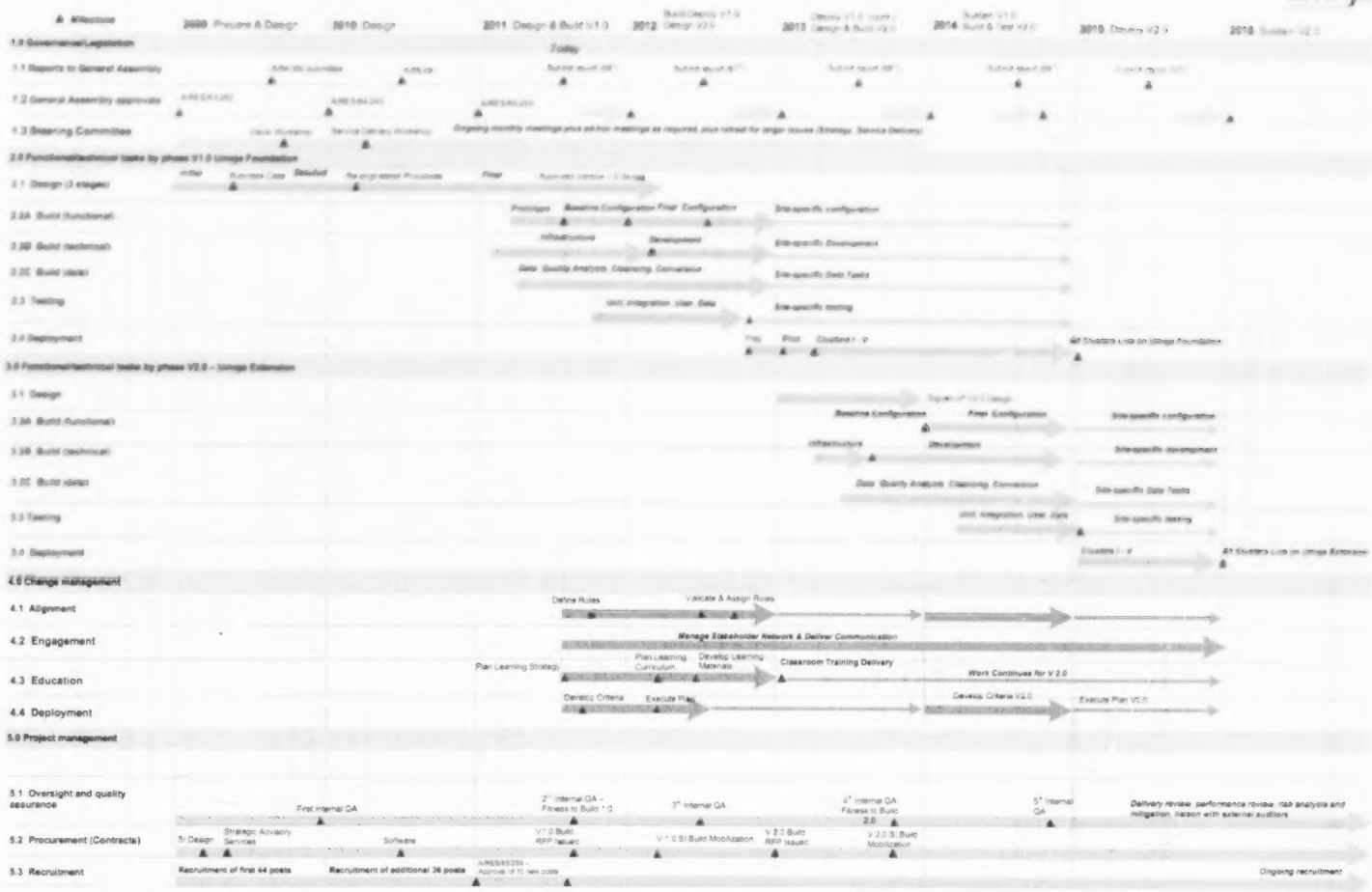


Abbreviations: ASG, Assistant Secretary-General; CITO, Chief Information Technology Officer; DFS, Department of Field Support; DGACM, Department for General Assembly and Conference Management; DM, Department of Management; LSD, Logistics Support Division; OCSS, Office of Central Support Services; OHRM, Office of Human Resources Management; OPPBA, Office of Programme Planning, Budget and Accounts; UNOV, United Nations Office at Vienna; USG, Under-Secretary-General.

* The Office of Legal Affairs and the Office of Internal Oversight Services have observer status.

Annex II

Detailed timeline: revised implementation plan: Umoja Foundation (version 1.0) and Umoja Extension (version 2.0)



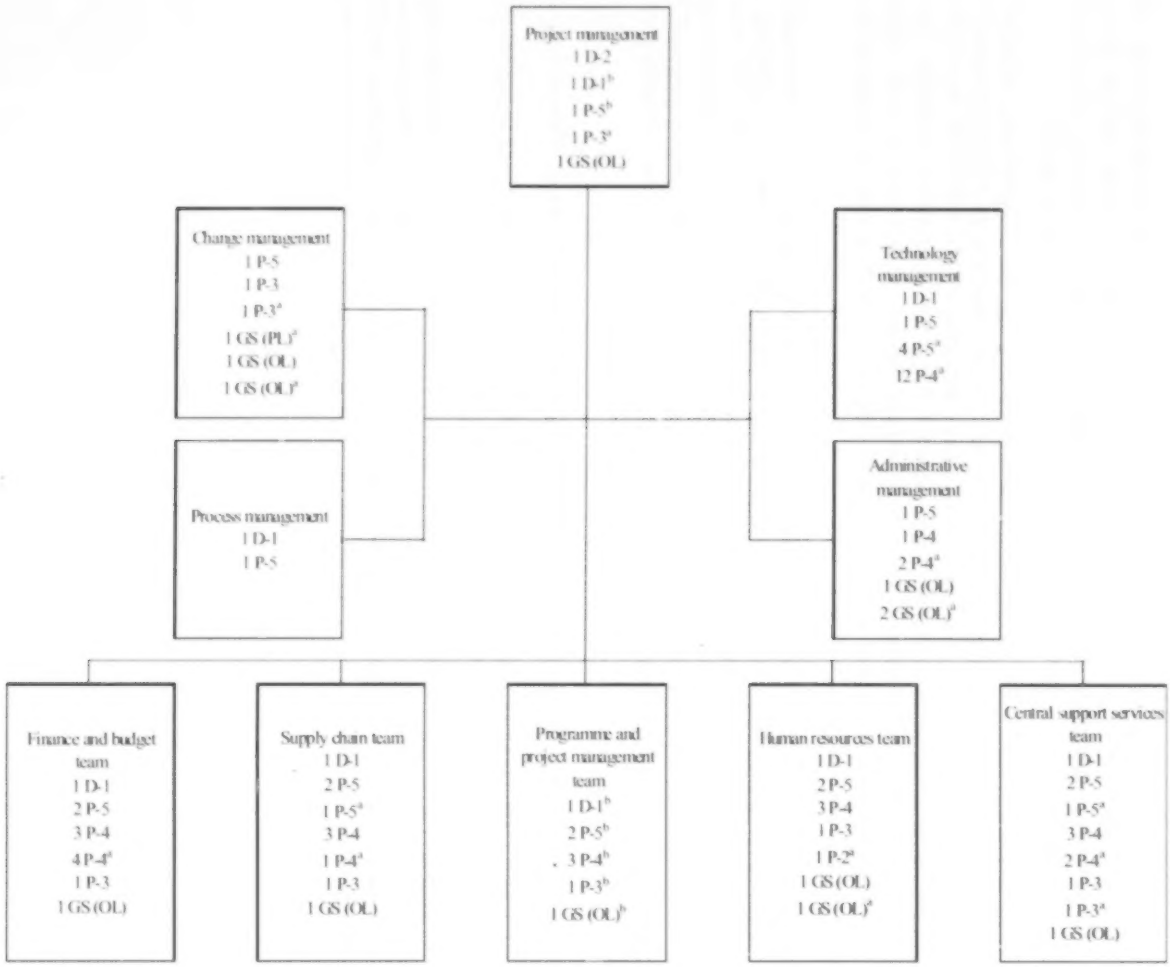
1.0 Governance/Legislation	
1.1 Reports to the General Assembly	Report A/62/510/Rev.1 presented the initial proposal of the Secretary-General; progress reports are submitted annually, starting from the sixty-fourth session.
1.2 General Assembly approvals	Resolution 63/262 approved the governance framework, $20 million seed funding, and creation of a multi-year account. Resolution 64/243 endorsed the "pilot first" deployment option, and requested annual progress reports. Resolution 65/259 endorsed the creation of 10 new posts (through cost-neutral redistribution of resources) for delivery management and the creation of a programme and project management team.
1.3 Steering Committee	Members provide oversight, guidance and support to the Umoja Chair. See Umoja governance model for detail.
2.0 Functional/technical tasks by phase V1.0 (Umoja Foundation)	
2.1 Design (3 stages)	Initial, detailed and final design, during which initial business case is developed; fit-gap analysis is completed; the future solution ("to-be") is thoroughly documented in the form of process and data maps; and the change to the Organization's workflows, roles and responsibilities is measured and documented.
2.2A Build (functional)	Completion of any required prototypes and proofs-of-concept; configuration of enterprise resource planning and related software to meet the design requirements produced above; ongoing support to configuration needed during and after deployment to individual locations. Prototyping and configuration depends on availability of sandbox and development environments.
2.2B Build (technical)	Design, build, and deployment of hardware and network infrastructure required to support the system; coding and customization of enterprise resource planning software and legacy systems to fill gaps between the design and the capabilities of configured enterprise resource planning software, as well as construction of interfaces between enterprise resource planning software and legacy systems; technical support to enhancements and ongoing development during deployment to individual locations.
2.2C Build (data)	Analysis of existing organizational data, including data quality; gathering and cleansing of data; determination and application of transformation rules; load of data into the enterprise resource planning system. Analysis and some cleansing can proceed independently of other activities, but transformation rules, aspects of cleansing, and all load depend on completion of functional design and configuration.

2.3 Testing	Design and execution of specific tests to ensure that: individual configuration and development objects function properly; all system elements, enhancements, and interfaces function properly together; system processes work properly and meet user requirements; all systems and processes function as expected when loaded with real organization data. Ongoing iterations of the above as needed to support system patches, updates, and further post-deployment development. Test plans can begin before infrastructure is completed, but actual testing depends on availability of environments.
2.4 Deployment	The solution will first be deployed to a set of pilot locations, encompassing peacekeeping missions, field support, and non-peacekeeping offices. Deployment will continue in phases, with clusters of offices chosen for geographical and business compatibility, mixing peacekeeping, offices away from Headquarters, and non-peacekeeping locations.
3.0 Functional/technical tasks by phase 1, Umoja Foundation and phase 2, Umoja Extension	
3.1 Design	As noted above in 2.1. Additionally, changes to the design emergent from phase 1 and from available technologies will need to be incorporated. Human resources and budget formulation functionality, which is part of Umoja Extension, will be designed and built at the same time as Umoja Foundation but will commence deployment in 2014.
3.2A Build (functional)	As noted above in 2.2A.
3.2B Build (technical)	As noted above in 2.2B. Also necessary will be deployment of a separate technical environment for phase 2 development activities.
3.2C Build (data)	As noted above in 2.2C.
3.3 Testing	In addition to the steps outlined above in 2.3, the phase 2 systems and development will need to be carefully tested to ensure integration with the phase 1 systems.
3.4 Deployment	Phase 2 will be deployed in a similar fashion to phase 1, although choice of pilot sites and clusters may change depending on circumstance.
4.0 Change management	
4.1 Alignment	Alignment activities include: implementing roles and responsibilities within new processes; assigning new enterprise resource planning software security roles to end-users to determine training requirements and systems access; identifying organizational alignment issues and mitigating negative aspects; assessing and managing readiness. Dependent on: maturity of business process design; completion of unit and integration testing to ensure role lock-down.

4.2 Engagement	Includes accelerating targeted communications activities and events around deploying, refining and further development of the Umoja stakeholder network in order to prepare staff for "go-live"; reinforcing appropriate expectation levels. Dependent on: clarity of mission, timelines and foundation scope; identification of user "Champions" for each deployment site.
4.3 Education	Training and preparation of end-users to implement new systems and processes. Includes development of the training plan, curriculum and course materials; recruiting instructors, followed by delivering training to each deployment cluster, adjusting based on feedback from evaluations, and helping to implement the user support model. Dependent on: maturity of design; clear and finalized scope; completion of system build; classrooms and infrastructure secured; subject matter expert posts for instructors filled; testing complete prior to development of training materials; participants and travel budgets secured.
4.4 Deployment	Covers all aspects of Umoja implementation from end-user/site perspectives; coordinates training, technical cutover and other activities for each site to ensure smooth transition, including implementation of user support structures (e.g., help desk, coaching, etc.), with close follow-up to ensure effective operation and issue resolution. Dependent on: readiness of Umoja Foundation software and successful data conversion; clear understanding of organizational responsibilities prior to deployment; timely and effective administrative processes to support deployment.
5.0 Project management	
5.1 Oversight and quality assurance	Delivery review, performance review, risk analysis and mitigation, liaison with external auditors.
5.2 Procurement	The systems integration services contract was divided in two, corresponding to project phases: (i) design; and (ii) build and implementation.
5.3 Recruitment	Includes recruiting staff (through vacancy announcements and temporary vacancy announcements), independent consultants, and subject matter experts. The total number of staffing positions was increased from 80 to 90 at the sixty-fifth session (see General Assembly resolution 65/259).

Annex III

Organizational structure and post distribution for 2012



Abbreviations: GS, General Service; OL, Other level; PL, Principal level.

[a] Approved at the sixty-fourth session.

[b] Approved at the sixty-fifth session.